

DRAFT

DRAFT, 20 Mar 96
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SECNAVINST 5000.2B
ASN(RD&A)

SECNAV INSTRUCTION 5000.2B

From: Secretary of the Navy

Subj: IMPLEMENTATION OF MANDATORY PROCEDURES FOR MAJOR AND NON-MAJOR DEFENSE ACQUISITION PROGRAMS AND MAJOR AND NON-MAJOR INFORMATION RESOURCES ACQUISITION PROGRAMS

Ref: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96
(c) OPNAVINST 5000.42D, "OPNAV Role and Responsibilities in the Acquisition Process," 19 Apr 93 (canceled)
(d) MCO 5000.22, "Implementation of Defense Acquisition Management Policies, Procedures, Documentation, and Reports," 25 May 94 (canceled)
(e) MCO 5000.11B, "Marine Corps Policy for Test and Evaluation of Systems and Equipment," 21 Apr 94 (canceled)
(f) SECNAVINST 5000.2A, "Implementation of Defense Acquisition Management Policies, Procedures, Documentation, and Reports," 12 Dec 92 (canceled)
(g) SECNAVINST 5231.1C, "Life Cycle Management Policy and Approval Requirements for Information System Projects," 10 Jul 92 (canceled)
(h) SECNAVNOTE 5231, "Oversight of Federal Information Processing Resource Acquisition Contracts," 20 Aug 93 (canceled)
(i) MCO 3900.4D, "Marine Corps Program Initiation and Operational Requirement Documents," 31 Jan 91
(j) SECNAVINST 5400.15A, "DON Research, Development and Acquisition Responsibilities," 26 May 95

Encl: (1) Part 1 - Acquisition Management Process
(2) Part 2 - Program Definition
(3) Part 3 - Program Structure
(4) Part 4 - Program Design
(5) Part 5 - Program Assessments and Decision Reviews
(6) Part 6 - Periodic Reporting
(7) Part 7 - Appendices
(8) Part 8 - SECNAVINST, OPNAVINST, and MCO Cancellations

1. Purpose. To issue mandatory procedures for Department of the Navy (DON) implementation of references (a) and (b) for major and non-major defense acquisition programs and major and non-major Information Resources (IR) acquisition programs.

a. Enclosures (1) through (7) provide detailed mandatory procedures to implement references (a) and (b).

2. Cancellation. SECNAVINST 5000.2A, SECNAVINST 5231.1C, SECNAVNOTE 5231, OPNAVINST 5000.42D, MCO 5000.11B, and MCO 5000.22 are canceled by this instruction. Enclosure (8) lists Secretary of the Navy (SECNAV) acquisition-related issuances; OPNAV issuances; and Marine Corps orders which were canceled by SECNAVINST 5000.2A, OPNAVINST 5000.42D, MCO 5000.22, and this instruction.

3. Background. This instruction implements references (a) and (b) and replaces references (c) through (h) which are canceled. Reference (a) is implemented by reference (b) through the establishment of a core of fundamental acquisition management policies and procedures for defense acquisition programs and information resources programs. Reference (b) combines the policy and procedures of DoD 5000 series and 8120 series directives and instructions. A DoD Deskbook is a companion electronic reference for discretionary use, document and report formats, lessons-learned, institutional knowledge, and sage advice. Reference (b) requires the DoD Components to directly implement the policies and procedures contained therein down to the Program Manager and the field operating level without supplementation and with minimum DoD Component implementing directives, instructions, regulations, memorandums, and related issuances. Reference (c) which contained the procedures for Navy requirements generation, operational test and evaluation, and the OPNAV acquisition interface role has been incorporated herein. Reference (d) which contained the DoD 5000 series unique Marine Corps acquisition implementation guidance has been incorporated herein. Reference (e) which contained the DoD 5000 series unique Marine Corps test and evaluation implementation guidance has been incorporated herein. References (f) and (g) which contained the DON life cycle management policy and approval requirements for information systems projects has been incorporated herein. Reference (i) contains the Marine Corps requirements generation procedures.

4. Applicability and Precedence. The provisions of this instruction apply to all DON organizations. References (a), (b), and this instruction take precedence over any DON issuances conflicting with them, except if there is any conflicting guidance pertaining to contracting. The Federal Acquisition Regulation (FAR), the Defense Federal Acquisition Regulation Supplement (DFARS), the Federal Information Resources Management Regulation (FIRMR), and the Navy Acquisition Procedures Supplement (NAPS) shall take precedence over this instruction regarding contracting matters.

5. Overall Acquisition Process. Where no further DON mandatory implementation procedures were necessary, the text of Reference (b) has not been amplified and stands alone to be directly implemented by DON. Where DON mandatory implementation

procedures were necessary, enclosures (1) through (6) of this instruction follow the "Part" format of, and amplify, Reference (b). For example, enclosure (1) amplifies Part 1, "Acquisition Management Process", enclosure (2) amplifies Part 2, "Program Definition", etc. Specific OPNAV and Marine Corps implementation procedures are included in appropriate enclosures and their appendices. The previous concept of "tailoring-out" non-statutory milestone documentation has been replaced by the concept of "tailoring-in" the necessary non-statutory milestone information needed by the Milestone Decision Authority (MDA) to make an informed milestone decision. Note: Wherever "CNO/CMC" is used throughout this instruction, it should be interpreted to include ", or designee," unless otherwise stated.

6. Responsibilities

a. The Assistant Secretary of the Navy (Research, Development and Acquisition)(ASN(RD&A)), is the DON Acquisition Executive (NAE) responsible for acquisition within DON in accordance with reference (j).

b. [TBD] is designated the DON Chief Information Officer (CIO). The CIO is responsible for developing and issuing IR management policies, architectures and standards; evaluating the performance of IR programs on the basis of applicable performance measurements; advising the Secretary of the Navy regarding whether to continue, modify or terminate an IR program; and administering the DON Information Technology budget.

c. CNO/CMC are responsible for the DON's requirements generation process, operational test and evaluation, readiness, planning and programming to satisfy operational requirements, and providing acquisition logistics support to ASN(RD&A). CNO and CMC IR functional area Points of Contact (POCs), responsible for IR requirements, are listed in the Deskbook (DON Section), enclosure (7), Appendix XII. CNO Program Sponsors are responsible for identifying naval warfare and IR program requirements. CNO Resource Sponsors are responsible for specific appropriation categories and may also have dual responsibility as Program Sponsors.

d. The Commander, Operational Test and Evaluation Forces (COMOPTEVFOR) and Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA) are responsible for independent operational test and evaluation for the Navy and the Marine Corps, respectively.

e. Program Executive Officers (PEOs), Systems Command (SYSCOMs) Commanders, and Direct Reporting Program Managers (DRPMs) are responsible for administering assigned acquisition

programs and report directly to the NAE for such programs. PEOs, DRPMs, and SYSCOM Commanders have authority, responsibility, and accountability for all acquisition programs within their cognizance. SYSCOM Commanders also provide support, as applicable, to PEOs, DPRMs, and Program Managers (PMs). PEOs, SYSCOM Commanders, and DRPMs are authorized to approve charters for assigned PMs. When an official above a PM exercises milestone decision authority or direction on program matters, the decision or direction shall be documented with a copy forwarded to the cognizant PM. The official shall be held responsible and accountable for the decision or programmatic direction.

f. The Naval Center for Cost Analysis (NCCA) is responsible for assisting program managers in preparing cost estimates, preparing independent cost analysis, reviewing Contractor Cost Data Reporting (CCDR) plans, and managing the Visibility and Management of Operating and Support Costs (VAMOSOC) data base. NCCA serves as the DON member of the OSD Cost Analysis Improvement Group.

Detailed responsibilities for the foregoing organizations, including those for IR, are found in enclosures (1) through (6), the appendices, and the Deskbook (DON Section). IR functional area POCs are listed in the Deskbook (DON Section), enclosure (7), Appendix XII. Responsibilities for the Under Secretary of Defense (Acquisition and Technology), the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence), and other Offices of the Secretary of Defense are listed in reference (a).

7. Action. DON activities shall:

a. Ensure that the policies, procedures, documentation, and reports in references (a), (b), and this instruction and its enclosures are followed.

b. Review existing guidance and instructions and cancel or update to conform with references (a), (b), and this instruction.

(1) Unless prescribed by statute or specifically authorized herein, the policies and procedures of this instruction will not be supplemented without the prior approval of ASN(RD&A).

(2) Implementing directives, instructions, regulations, memorandums, and related issuances shall be kept to the minimum.

c. Distribute this instruction to appropriate command personnel.

8. Reports and Forms. Required periodic reports are listed in enclosure (6).

Distribution: (2 copies each unless otherwise indicated)

SNDL A1A (SECNAV) (1)

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A6 (Headquarters U.S. Marine Corps (CL, OLA, PA, DC/S(A), AC/S(C4I), DC/S(I&L), DC/S(M&RA), DC/S(PP&O), DC/S(P&R)) (50)

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Office of the Under Secretary of Defense (Acquisition and
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Part 1

Acquisition Management Process

References: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96
(c) NAVSO P-35, "DON Publications and Printing Regulations," May 79
(d) OPNAVINST 5290.1A, "Naval Imaging Program (NAVIMP) Policy and Responsibilities," 27 Apr 90
(e) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95
(f) DoD Directive 8000.1, "Defense Information Management (IM) Program," 27 Oct 92

1.1 Purpose

1.1.1 General Guidance

This part establishes a model for managing DON acquisition programs, including Information Resources (IR) acquisition programs, at the ACAT IC, IAC, II, III, and IV levels. IR acquisition programs include: less than major AIS programs; Federal Information Processing (FIP) resource contracts; and Information Technology (IT) projects such as implementation of Electronic Commerce/Electronic Data Interchange (EC/EDI), networks, Defense Messaging System, base-level infrastructure, etc., if not already approved as a part of a DoD-wide program. The management model acknowledges that every acquisition program is different and the Program Manager (PM) and the Milestone Decision Authority (MDA) shall structure the program to ensure a logical progression through a series of phases designed to reduce risk, ensure affordability, and provide adequate information for decision-making. See references (a) and (b) for further guidance regarding ACAT I programs.

1.1.2 Specific Guidance

This acquisition process specifically applies to programs managed by all DON organizations, including activities operating on a reimbursable, non-appropriated, or cost-recovery basis. It applies to all programs funded from the Foreign Military Sales Administrative Fund. IR programs funded by direct citation of funds from one or more Foreign Military Sales cases are exempt.

Acquisition of electronic publishing, printing and micropublishing equipment and services which are subject to the Congressional Joint Committee on Printing notification requirement, shall be managed concurrently under both this instruction and reference (c). This instruction does not apply to Visual Information Equipment (VIE), which includes Interactive Videodisc Systems which are governed by reference (d).

1.2 Overview of the Acquisition Management Process

In accordance with reference (e), Acquisition Coordination Teams (ACT) shall be established for ACAT IC and II programs; ACTs are encouraged for ACAT III and IV programs. The ACT is a team of stakeholders from the acquisition, requirements generation, test and evaluation, and planning, programming, and budgeting communities who represent the MDA's principal advisors for a given program. The ACT will participate early and continuously with the Program Manager to develop and implement the acquisition strategy and resolve issues at the earliest time and lowest level.

At program initiation, the PM shall propose, and the MDA shall approve, the appropriate milestones and documentation needed for each milestone. Prior to each milestone, the MDA shall review the suitability of these requirements in view of program status. The ACT shall be used to develop the PM's milestone and documentation proposal when an ACT exists. The Program Manager is encouraged to use the Integrated Product Team (IPT) for this purpose when an ACT doesn't exist.

See reference (b), paragraph 1.2, for further guidance.

1.3 Categories of Acquisition Programs and Milestone Decision Authorities

Upon initiation, size, complexity and risk shall generally determine the category of an acquisition program. The categories are:

1. ACAT I - Major Defense Acquisition Programs (MDAPs) - includes Major Automated Information System Acquisition Programs (MAISAPs).

2. ACAT II - major systems

3. ACAT III and IV - all other ACAT programs

4. Non-ACAT acquisition programs - programs whose cost is below all of the dollar thresholds associated with an Acquisition Plan

1.3.1 ACAT I

ASN(RD&A) is designated the MDA for ACAT IC programs. See reference (b), paragraph 1.3.1, for guidance.

1.3.2 ACAT IA

See reference (b), paragraph 1.3.2, for guidance.

1.3.3 ACAT II

ASN(RD&A) will designate programs as ACAT II and will serve as MDA for such programs. There are no ACAT II IR programs. See reference (b), paragraph 1.3.3, for further guidance.

1.3.4 ACAT III and IV

ACAT programs not meeting the criteria for ACAT I or II shall be designated as ACAT III or IV programs. ACAT programs not meeting the ACAT III criteria in paragraph 1.3.4.1 shall be designated ACAT IV pursuant to paragraph 1.3.4.2.

1.3.4.1 ACAT III

A program that affects the military characteristics of ships or aircraft or involves combat capability will normally be designated an ACAT III program.

IR ACAT III programs are those that do not meet ACAT IA dollar thresholds and [the criteria has not been established yet, but will be based on risk]

PEOs, SYSCOM Commanders, and DRPMs shall designate programs as ACAT III. Naval Information Systems Management Center (NISMC) shall designate ACAT III IR programs. For management and tracking purposes; PEOs, SYSCOM Commanders, DRPMs, and NISMC shall input programs designated ACAT III into the ASN(RD&A) ACAT program database listing.

PEOs, SYSCOM Commanders, or DRPMs are designated the MDA for ACAT III programs. NISMC is designated the MDA for ACAT III IR programs. A PEO, SYSCOM Commander, DRPM, or NISMC may redelegate MDA to an appropriate Flag or Senior Executive Service level. ASN(RD&A) may retain MDA for selected ACAT III programs.

1.3.4.2 ACAT IV

ACAT programs not otherwise designated ACAT I, II, or III will be designated ACAT IV. Information Resources (IR) programs

not designated ACAT IA or III will be designated ACAT IV. There are two categories of ACAT IV programs: IVT and IVM. ACAT IVT programs require Operational Test and Evaluation (OT&E), while ACAT IVM programs do not.

PEOs, SYSCOM Commanders, and DRPMs shall designate programs as ACAT IVT or IVM with the concurrence of COMOPTEVFOR or Director, MCOTEA. NISMC shall designate ACAT IV IR programs. For management and tracking purposes; PEOs, SYSCOM Commanders, DRPMs, and NISMC shall input programs designated ACAT IV into the ASN(RD&A) ACAT program database listing.

PEOs, SYSCOM Commanders, or DRPMs are designated the MDA for ACAT IV programs. NISMC is designated the MDA for ACAT IV IR programs. PEOs, SYSCOM Commanders, DRPMs, or NISMC may redelegate MDA to an appropriate Flag or Senior Executive Service level, or the Program Manager.

1.3.5 Non-ACAT Acquisition Programs

Non-ACAT acquisition programs are those acquisition programs whose cost is below all of the following dollar thresholds associated with the requirement for an Acquisition Plan. These programs shall not be required to obtain an ACAT designation.

1. All acquisition programs whose costs are less than:
 - a. \$5 million in total development cost of all contracts for all fiscal years,
 - b. \$15 million in total production or services cost of all contracts for any fiscal year, or
 - c. \$30 million in total production or services cost of all contracts for all fiscal years.
2. IR acquisition programs whose costs are less than:
 - a. \$5 million in total contractual cost for all fiscal years for commercially available IR equipment or IR software, or
 - b. \$15 million in total contractual cost in any fiscal year, or \$30 million in total contractual cost for all fiscal years for IR services or IR support services,

Alternatively, PEOs, SYSCOM Commanders, DRPM, and NISMC may designate these programs as ACAT III or IV.

Modifications whose cost is below all of the dollar thresholds associated with the foregoing Acquisition Plan requirements shall not be required to obtain a separate ACAT designation for that modification; however, the actions required by the PM, CNO/CMC, and MDA shall be as determined by the most applicable row in the modification table in this instruction, enclosure (1), paragraph 1.4.5.2, page 8.

PEOs, SYSCOM Commanders, DRPMs, and NISMC shall be responsible for developing policies and procedures for documentation, decision reviews, and tracking of non-ACAT acquisition programs. Non-ACAT acquisition programs shall not be initiated without written authorization from CNO/CMC.

1.3.6 ACAT Designation and Designation Changes

An ACAT designation shall normally be assigned per paragraphs 1.3 and 1.3.1 through 1.3.4 after approval of a requirements document (e.g., MNS or ORD). A proposed ACAT designation shall be provided on the cover of the requirements document. All ACAT designations shall be input into the ASN(RD&A) acquisition program database. Realizing that an acquisition program can be initiated by other means, or change as a result of it's development, a memorandum format to request a specific ACAT designation, or change an ACAT designation, is provided in this instruction, enclosure (7), Appendix II, Annex H, and the Deskbook (DON Section), enclosure (7), Appendix X. The PEO/SYSCOM/DRPM or Program Manager shall initiate the ACAT designation request.

1.4 Acquisition Phases and Accomplishments

Each MDA should provide for maximum feasible tailoring of programs under their oversight. When appropriate, PMs shall use an ACT to develop a tailoring proposal (for both procedures and documentation) for MDA approval.

At program initiation, and after consideration of the views of the ACT members where an ACT has been established, the PM shall propose an execution, management, and oversight structure for the program. The proposed structure shall include the appropriate milestones, the level of decision for each milestone, and the documentation needed for each milestone. The PM proposal shall consider the size, complexity, and risk associated with the program. There shall be no requirement for a formal meeting to present the PM proposal, except in cases where the MDA directs that a formal meeting be held. The MDA shall approve in writing the program execution, management, and oversight structure. The MDA determinations regarding program execution, management, and oversight made at program initiation

shall be reexamined prior to each milestone in light of then-current program conditions.

Required documents for any DON ACAT I, II, III, or IV program shall be determined using the concept of "tailoring in" (vice "tailoring out") documents, i.e., there are no documents required beyond: (1) those required by statute, reference (b), and this instruction, enclosure (5), paragraph 5.8, and (2) those required by the MDA. The use of ACTs or IPTs in the "tailoring in" process, with representatives from all appropriate functional disciplines working together, can build successful programs and enable good, informed decision making.

What to "tailor in" in terms of discretionary documents and document content will vary for each program. Regarding milestone information, statutory information cannot be waived. The table in this instruction, enclosure (5), page 4, provides the mandatory milestone information for all DON ACAT programs.

See reference (b), paragraph 1.4, for further guidance.

1.4.1 Determining Mission Needs and Identifying Deficiencies

The ACT, established by reference (f), is responsible for satisfying requirements for ACAT I and II programs and, if established, for ACAT III and IV programs. If the potential solution could result in a new IR program, the appropriate IR Functional Area POCs (provided in the Deskbook (DON Section), enclosure (7), Appendix XII) shall review the documented need, determine its validity, establish joint potential, and confirm that the requirements defined in reference (f) have been met. See reference (b), paragraph 1.4.1 for further guidance.

1.4.2 Phase 0: Concept Exploration

See reference (b), paragraph 1.4.2, for guidance.

1.4.3 Phase I: Program Definition and Risk Reduction

See reference (b), paragraph 1.4.3, for guidance regarding this phase.

1.4.4 Phase II: Engineering and Manufacturing Development

See reference (b), paragraph 1.4.4, for guidance regarding this phase.

1.4.4.1 Low-Rate Initial Production

For DON programs, the MDA shall determine the LRIP quantity for all ACAT IC, II, III, and IV programs as part of the approval to enter the Engineering and Manufacturing Development (EMD) phase. Determination of exact LRIP quantities may be contingent upon successful accomplishment of Milestone II exit criteria. The LRIP quantity for ACAT III and IV programs shall not be less than one unit and any increase shall be approved by the MDA. Further LRIP restrictions on ACAT IC and II programs are contained in reference (b), paragraph 1.4.4.1.

1.4.5 Phase III: Production, Fielding/Deployment, and Operational Support

See reference (b), paragraph 1.4.5, for guidance.

1.4.5.1 Operational Support

See reference (b), paragraph 1.4.5.1, for guidance.

1.4.5.2 Modifications

Modifications to any ACAT II, III, or IV program, that fall below an ACAT I cost level and cause the program to breach an existing Acquisition Program Baseline (APB) threshold, shall result in a revision to the APB and any other program documentation, or shall be managed as a separate program at the discretion of the MDA.

Between milestone reviews, program changes which would cause a breach of an APB threshold shall require a revised APB. For changes that do not breach an APB threshold, but exceed the funding and requirements approved in the latest FYDP update, the Program Manager shall submit a funding request to the Program Sponsor via the PEO/SYSCOM/DRPM. The Program Sponsor shall, as appropriate, authorize the change and provide funding.

See the "Modification Process" table in this instruction, enclosure (1), page 8, for appropriate actions by the Program Manager, CNO/CMC, and the MDA. Actions are based on whether or not:

1. An ACAT exists for the program being modified,
2. A current APB exists for the program being modified,
3. The modification breaches an APB threshold,
4. The program requires additional funding to implement the modification, and

5. The modification cost breaches a dollar threshold that would require an Acquisition Plan (AP) (see this instruction, enclosure (1), paragraph 1.3.5).

If the modification causes a revision in program documentation (e.g., Acquisition Program Baseline (APB), Operational Requirements Document (ORD), Test and Evaluation Master Plan (TEMP), etc.), these documents shall be revised and approved by the proper authority. Additionally, if a program being modified does not have an ACAT designation or if the modification causes a change in ACAT level for the ongoing program, an ACAT designation request or designation change request shall be submitted for approval.

See reference (b), paragraph 1.4.5.2, for further guidance.

| Modification Process (Pick the row that most closely relates to your ongoing program characteristics and proposed modification) | | | | | | | |
|---|-----------------------------|-----------------------------|----------------------------------|-------------------------------|---|--|---|
| ACAT exists for current pgm? | APB exists for current pgm? | Mod breaches APB threshold? | Mod requires additional funding? | Mod breaches AP \$ threshold? | PM action | CNO/CMC action | MDA action |
| YES | YES | NO | NO | YES or NO | Execute mod | None | None |
| NO | NO | N/A | NO | NO | Execute mod | None | None |
| NO | NO | N/A | YES | NO | Prepare funding request Execute mod | Provide authorization Provide funding | None |
| YES | YES | NO | YES | YES or NO | Prepare funding request Execute mod | Provide authorization Provide funding | None |
| YES | NO | N/A | NO | YES or NO | Prepare APB ^{1/} Execute mod | Provide authorization Endorse APB ^{1/} | Approve APB ^{1/} |
| YES | NO | N/A | YES | NO | Prepare funding request Prepare APB ^{1/} Execute mod | Provide authorization Provide funding Endorse APB ^{1/} | Approve APB ^{1/} |
| YES | YES | YES | NO | YES or NO | Revise APB ^{1/} Revise TEMP ^{2/} Execute mod | Provide authorization or Approve ORD ^{2/} Endorse APB ^{1/} Endorse TEMP ^{2/} | Approve APB ^{1/} Approve TEMP ^{2/} |
| YES | NO | N/A | YES | YES | Prepare funding request Prepare APB ^{1/} Prepare TEMP ^{2/} Execute mod | Approve ORD ^{2/} Provide funding Endorse APB ^{1/} Endorse TEMP ^{2/} | Approve APB ^{1/} Approve TEMP ^{2/} |
| NO | NO | N/A | YES | YES | Prepare funding request Prepare APB ^{1/} Prepare TEMP ^{2/} Prepare ACAT ^{3/} design request Execute mod | Approve ORD ^{2/} Provide funding Endorse APB ^{1/} Endorse TEMP ^{2/} | Approve APB ^{1/} Approve TEMP ^{2/} Approve ACAT ^{3/} design request |
| YES | YES | YES | YES | YES or NO | Prepare funding request Revise APB ^{1/} Prepare TEMP ^{2/} Execute mod | Provide authorization or Approve ORD ^{2/} Provide funding Endorse APB ^{1/} Endorse TEMP ^{2/} | Approve APB ^{1/} Approve TEMP ^{2/} |

1/ "Prepare APB" is for the original ongoing program if a "current APB" does not exist, or for the "modification only" if the modification is to be managed as a separate program. "Revise APB" is for the original ongoing program. See APB format in reference (b), Appendix I.

2/ If a new, or change to an existing, ORD or TEMP is required. See formats for ORD and TEMP in reference (b), Appendices II and III, respectively.

3/ "Prepare ACAT designation request" is for the "modification only", unless the original program is still ongoing (e.g., in production), in which case the ACAT designation request shall encompass both the original program and the modification(s). See the ACAT designation request and ACAT designation change request formats in the Deskbook (DON Section).

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1.4.6 Demilitarization and Disposal

See reference (b), paragraph 1.4.6, for further guidance.

1.5 Milestone Decision Points

Regarding milestones, there is no set minimum number of milestones that all programs must have. For example, it is conceivable that a commercial off-the-shelf (COTS) program could have program initiation at Milestone III and go directly into production or deployment. Yet there are certain core activities that must be addressed at the milestone meeting such as: need validation, alternative solutions, acquisition strategy and baseline, affordability and funding adequacy, risk management, producibility, supportability, environmental compliance, and operational effectiveness and suitability prior to production or deployment. The MDA must rigorously evaluate these matters before making a program decision. The MDA shall establish tailored Milestone Decision Points for each acquisition program as early as possible in the program life-cycle.

1.5.1 Milestone 0: Approval to Conduct Concept Studies

See reference (b), paragraph 1.5.1, for guidance.

1.5.2 Milestone I: Approval to Begin a New Acquisition Program

See reference (b), paragraph 1.5.2, for guidance.

1.5.3 Milestone II: Approval to enter Engineering and Manufacturing Development

See reference (b), paragraph 1.5.3, for guidance.

1.5.3.1 Approval to Enter LRIP

See reference (b), paragraph 1.5.3.1, for guidance.

1.5.4 Milestone III: Production or Fielding/Deployment Approval

Milestone III shall be used to authorize deployment for an AIS including software, if not authorized by Phase II exit criteria.

See reference (b), paragraph 1.5.4, for further guidance.

1.6 Integrated Product Teams

See reference (b), paragraph 1.6, for guidance.

1.7 Review of the Legality of Weapons Under International Law

The PM shall ensure the Navy Judge Advocate reviews the intended use of a potential weapon in armed conflict, to determine that it is consistent with U.S. obligations. See reference (a), paragraph G.2, for further guidance.

1.8 Non-Acquisition Programs

The Research, Development, Test and Evaluation, Navy (RDT&E, N) funding appropriation account contains both acquisition and non-acquisition programs. A non-acquisition program is an effort that does not directly result in the acquisition of a system or equipment for operational deployment. Examples of non-acquisition programs are:

1. Science and Technology Programs.
 - a. Technology base programs in research and exploratory development.
 - b. Advanced technology development programs including Advanced Technology Demonstrations (ATDs).
2. Concept exploration or advanced development of **potential** acquisition programs.
3. Systems integration efforts of ATDs or other advanced development articles with **no** directly related acquisition program effort.
4. Management and support of installations or operations required for general purpose research and development use (included would be test ranges, maintenance of test aircraft and ships, and studies and analyses **not** in support of a specific acquisition program Research and Development (R&D) effort).

Non-acquisition programs, other than technology base programs (6.1 and 6.2), shall use a Non-Acquisition Program Definition Document (NAPDD) for initiation and control. See this instruction, enclosure (7), Appendix II, Annex G, page II-46, for NAPDD requirements, procedures, and format. Technology base programs shall continue using current documentation required by the Planning, Programming, and Budgeting System (PPBS).

CNO (N091), as supported by the Science and Technology Requirements Committee (STRC)/Science and Technology Working Group (STWG), shall conduct annual requirements based assessments of all non-acquisition programs. STRC/STWG membership is listed in this instruction, enclosure (7), Appendix II, Annex G,

page II-51.

1.9 Rapid Deployment Capability (RDC) Process and Procedures

1.9.1 Objectives of the RDC Process

These tailored procedures establish the basis and situations for managing RDC programs. RDC provides the ability to react immediately to a newly discovered enemy or potential enemy threat(s) or to respond to significant and urgent safety situations through special, tailored acquisition procedures designed to:

1. Streamline the dialogue among the requirements community, the PPBS community, and the acquisition management community.
2. Expedite technical, programmatic, and financial decisions.
3. Expedite, within statutory limitations, the procurement and contracting processes.
4. Provide oversight of critical events and activities.

1.9.2 RDC Initiation and Planning

RDC efforts shall be initiated as follows:

1. A memorandum request for initiation of the RDC effort shall be prepared by the program sponsor/requirements division, validated by CNO (N8)/CMC (CG MCCDC), and forwarded to ASN(RD&A) for approval. The memorandum shall contain the following:
 - a. Description of the requirement, along with a statement that the requirement has been validated.
 - b. A description of known products (government, commercial, foreign, or developmental) that can provide the capability to correct the deficiency. Provide a preferred alternative, if known.
 - c. Brief description of the threat or urgency which compels the use of the RDC process.
 - d. Quantities required under the RDC effort and quantities which might be procured under an ACAT program beyond the initial RDC effort, if known.

- e. Identification of funding (amount and source).
 - f. Required deployment date for RDC units.
 - g. Description of any development and testing to be accomplished prior to deployment.
 - h. Description and/or concept of logistics support required to support deployment of the RDC unit(s).
- 2. ASN(RD&A) shall approve/disapprove the RDC request. If approved, ASN(RD&A) shall assign a RDC program designation identifier, and forward the RDC requirement to the appropriate PEO/SYSCOM/DRPM for execution of the RDC development, test, and deployment program.
 - 3. PEOs, SYSCOMs, and DRPM shall use the Acquisition Coordination Team (ACT), if established, to develop the following:
 - a. An overall RDC strategy and specific expediting measures.
 - b. A plan of action and milestones, including any transition to an ACAT program after the initial RDC effort.
 - c. A plan for logistics support for RDC units.
 - d. A plan for PEO/SYSCOM/DRPM oversight of the program while it is under RDC guidelines.
 - e. A plan for testing prior to deployment, and, if applicable, a general description of testing during transition to an ACAT program.
 - 4. Copies of the RDC strategy and plans shall be forwarded to ASN(RD&A); the appropriate DASN(RD&A); and the Program Sponsor.

Part 2

Program Definition

- Reference:
- (a) DOD Directive 5000.1, "Defense Acquisition," 15 Mar 96
 - (b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96
 - (c) OPNAVINST 3880.6, "Scientific And Technical Intelligence Liaison Officer (STILO) Program And Intelligence Support For The Naval Research, Development, Test & Evaluation, And Acquisition Communities," 30 Aug 89
 - (d) Chairman of the Joint Chiefs of Staff Instruction 6212.01, "Compatibility, Interoperability, and Integration of Command, Control, Communications, Computers, and Intelligence Systems," 30 Jul 93
 - (e) MCO 3900.4D, "Marine Corps Program Initiation and Operational Requirement Documents," 31 Jan 91
 - (f) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95
 - (g) DoD Directive 8000.1, "Defense Information Management (IM) Program," 27 Oct 92

2.1 Purpose

Use of the mandatory procedures in this part serve to ensure that Acquisition Category (ACAT) II, III, and IV programs become well-defined and carefully structured to represent a judicious balance of cost, schedule, performance, available technology, and with affordability prior to production or deployment approval. See references (a) and (b) for further guidance.

2.2 Intelligence Support

Life cycle threat assessment and intelligence support for ACAT I, IA, II, III, and IV programs shall be provided in accordance with reference (c).

2.3 Requirements Evolution

In their role as user representative, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) shall: identify, define, validate, and prioritize mission requirements,

program resources through the Planning, Programming and Budgeting System (PPBS), and coordinate the Test and Evaluation (T&E) process. This shall require continuous interaction with ASN(RD&A) throughout the acquisition process in order to evaluate and appropriately respond to changes in requirements or the PPBS. If the potential solution could result in a new IR program, the appropriate IR Functional Area POCs (provided in the Deskbook (DON Section), enclosure (7), Appendix XII) shall review the documented need, determine its validity, establish joint potential, and confirm that the requirements defined in reference (g) have been met.

2.3.1 Evaluation of Requirements Based on Commercial Market Potential

See reference (b), paragraph 2.3.1 for guidance.

2.3.2 CNO Responsibilities

2.3.2.1 OPNAV Program and Resource Sponsor Responsibilities

For Navy programs, the OPNAV Program Sponsor, through the OPNAV Resource Sponsor where separately assigned, shall:

1. Act as the user representative,
2. Prepare the necessary requirements documentation.
3. Provide explicit direction with regard to mission and operational requirements generation and changes,
4. Program the funds necessary for proper execution, and
5. Define the thresholds and parameters for operational testing

The OPNAV Program Sponsor shall provide the key interface between the requirements generation system, the PPBS, and the acquisition management system. A Requirements Officer (RO) shall be assigned for each platform or system to provide staff expertise to the CNO in fulfilling his requirements, test and evaluation, and resources responsibilities. ROs shall also interface with the acquisition management process through membership on the program Acquisition Coordination Teams (ACTs)/Integrated Product Teams (IPTs).

CNO (N4) and the OPNAV Program Sponsor, or the user's representative if other than CNO, shall be the approval authority for fleet introduction/service use.

2.3.2.2 CNO, CNO(N8), and CNO (N81) Responsibilities

CNO (N81) shall coordinate the requirements generation process for achieving Mission Need Statement (MNS) and Operational Requirements Document (ORD) validation and approval. Additionally, CNO (N81) shall ensure that the proper documents are available, comply with DOD instructions, and are routed appropriately. The detailed MNS and ORD documentation and processing procedures are provided in this instruction, enclosure (7), Appendix II, Annexes A and C, respectively.

Prior to JROC validation and approval, CNO(N81) shall provide potential ACAT I MNSSs to CNO or CMC, as appropriate, for endorsement. CNO or CMC shall be the ACAT I Operational Requirements Document (ORD) validation and approval authority for DON whenever the JROC delegates this authority.

The Deputy Chief of Naval Operations (Resources, Warfare Requirements and Assessments)(CNO (N8)) shall review, validate, approve, and prioritize MNSSs and ORDs for Navy ACAT II, III, and IV programs. CNO (N8) shall convene, when appropriate, a Resources and Requirements Review Board (R3B) to perform a review prior to endorsement or validation and approval.

Key Performance Parameters, those performance parameters included in the performance section of the Acquisition Program Baseline (APB), shall be identified in the ORD. These key performance parameters shall be validated by the JROC (ACAT ID) or CNO (N8) (ACAT IC, II, III, and IV).

2.3.2.3 OPNAV MNS and ORD Development and Processing Procedures

A MNS and threat assessment shall be prepared for Milestone 0, Concept Studies Approval, to obtain approval by the Milestone Decision Authority (MDA) to proceed with Concept Exploration. The CINCs and the Commander, US Element, North American Air Defense Command (NORAD), who do not have an Acquisition Executive, shall identify their mission needs to the responsible Service component commander, who will use the Service's requirements system to validate and satisfy their need. CINC/FLTCINCs shall forward Navy MNSSs to CNO (N81) for staffing and coordination via the CNO (N83).

Operational requirements shall be evolutionary in nature and become more refined as a result of analysis of alternatives and test program updates as the program proceeds. The MNS and its associated analysis of alternatives shall provide the general framework for the derivation of the ORD and the APB Key Performance Parameters at the appropriate approval milestone.

The OPNAV Program Sponsor shall apply the results of the analysis of alternatives to identify performance parameters and potential system(s) which would satisfy the need.

The ORD shall delineate performance parameters and critical systems characteristics, in terms of thresholds and objectives. All Milestone 0/I MNSs and ORDs shall include clearly defined Joint Interoperability requirements or otherwise explicitly state that Joint Interoperability is not a requirement. The ORD shall be more detailed than the MNS and shall state specific interoperability requirements. Milestone II ORDs shall be updated and shall include appropriate statements on Joint Interoperability requirements. For all Milestone III ORDs, where Joint Interoperability is not addressed, and the program is scheduled to undergo operational testing, the sponsor shall prepare a Joint Interoperability requirements memorandum that defines these requirements or explicitly states that no requirement exists.

All MNSs and ORDs with Command, Control, Communications, Computers and Intelligence (C⁴I) issues shall be staffed for review of C⁴I impact, interoperability, and integration in accordance with reference (d).

2.3.2.4 JROC Documentation Processing Procedures

CNO endorsement of a Navy ACAT I MNS, CNO validation of an ACAT ID ORD, Program Sponsor validation endorsement of the Key Performance Parameter section of the APB (extracted from the ORD), and approval of the JROC briefing materials shall occur in advance of the JROC meeting. Following JROC validation, the Program Sponsor shall endorse the ACAT ID APB. Detailed OPNAV APB processing procedures and detailed JROC/CNO/CMC interface procedures are provided in this instruction, enclosure (7), Appendix II, Annexes D and E, respectively.

2.3.2.5 Marine Corps MNS and ORD Development and Processing Procedures

The following specific procedures shall apply to Marine Corps programs which have Navy fiscal sponsorship (e.g., aviation programs). MNS/ORDs for these programs shall be developed in accordance with reference (e). Subsequently, the MNS/ORD shall be submitted by the Commanding General, Marine Corps Combat Development Command (CG MCCDC) to the applicable OPNAV Resource Sponsor, via CNO(N810), for concurrence, prioritization, staffing, and endorsement. MCCDC shall coordinate validation and approval as follows:

1. ACAT I: shall be endorsed by CNO (N8); shall be reviewed by ACMC, VCNO, CNO; shall be approved/validated by the CMC or JROC, as appropriate.
2. ACAT II, III, and IV: shall be endorsed by CNO (N8) and shall be forwarded to CG MCCDC for final approval and validation processing. CG MCCDC shall review, approve, and prioritize MNSs and ORDs for Marine Corps ACAT II, III, and IV programs. The Assistant Commandant of the Marine Corps (ACMC) shall validate Marine Corps MNSs and ORDs for ACAT II, III, and IV programs.

The Deputy Chief of Staff (Installations and Logistics) (DC/S(I&L)) or the users' representative, if other than CMC, shall be the approval authority for fleet introduction/service use.

2.4 Analysis of Alternatives

An analysis of alternatives, tailored to the scope, phase, ACAT-level, and needs of each program, shall be conducted prior to and considered at appropriate milestone decisions, for all Navy programs. The analysis of alternatives aids in resolving MDA issues, and provides the basis for establishing program thresholds, cost and performance trade-offs, and a formulation of the analytical underpinnings for program decisions. See reference (b), paragraph 2.4, for further guidance.

2.4.1 Preparation Responsibilities

1. The cognizant PEO/SYSCOM/DRPM and CNO/CMC, but not the Program Manager, shall be responsible for the analysis of alternatives. The Program Sponsor shall propose a scope of analysis in coordination with an analysis of alternatives Integrated Product Team (IPT), under the Acquisition Coordination Team (ACT) where established. At a minimum, the scope of analysis shall identify the independent activity responsible for conducting ACAT I and II analyses, a set of alternatives to be addressed, a proposed completion date for the analysis, any operational constraints associated with the need, and specific issues to be addressed. Designation of independent activities to conduct analysis of alternatives for ACAT III and IV programs are encouraged, but not required. This scope of analysis shall be approved by ASN(RD&A) for ACAT ID programs, CNO/CMC (N8 for ACAT I, II, and III; Program Sponsor (flag level) for ACAT IV), and the MDA for ACAT IC, II, III, and IV, at each milestone, as

appropriate. See this instruction, enclosure (7), Appendix II, Annex B, (starting on page II-14), for further guidance.

2. A director, responsible for the conduct of the analysis, shall be assigned for each analysis of alternatives. The director must have a strong background in analyses as well as technical and operational credibility.
3. An analysis of alternatives IPT consisting of appropriate members of the core ACT organizations, where established, and any other organization deemed appropriate by the MDA, shall oversee the analysis of alternatives. The analysis of alternative IPT and ACT shall be kept cognizant of the analysis development. The analysis of alternatives IPT shall be co-chaired by the cognizant PEO/SYSCOM/DRPM and the Program Sponsor. At a minimum, the analysis of alternatives IPT shall receive a briefing of the analysis plan and on the final results, prior to presentation to the MDA. When CNO/CMC requests, the Program Sponsor shall be responsible for scheduling a formal briefing of the final results. The analysis of alternatives final results shall be approved as indicated in the following table:

| ACAT ID | ACAT IC, II, and III | ACAT IV |
|--------------------------------------|--|---|
| ASN(RD&A) & CNO(N8) or DC/S (R&P) | MDA, or designee (flag or SES), & CNO(N8) or DC/S (R&P) | MDA , or designee, & Program Sponsor or CG MCCDC |

4. See reference (b), paragraph 2.4.1, for further guidance.

2.4.2 Milestone Decision Reviews

See reference (b), paragraph 2.4.2, for guidance.

2.5 Affordability

1. Individual program plans and strategies for new ACAT II, III, and IV programs shall be consistent with overall DoD planning and funding priorities.
2. Affordability shall be assessed for ACAT II, III, and IV programs at each milestone decision point. No acquisition program shall be approved to proceed beyond program initiation unless sufficient resources, including manpower, are programmed in the most

recently approved Future Years Defense Program (FYDP), or will be programmed in the PPBS cycle.

2.5.1 Full Funding of Acquisition Programs Reviewed by the DAB or MAISRC

See reference (b), paragraph 2.5.1, for guidance.

2.5.2 Interface with Planning, Programming and Budgeting System.

Full funding to support approved ACAT II, III, and IV programs shall be included in all program and budget submissions. In addition to establishing and revising operational requirements, CNO/CMC shall ensure funding requirements for ACAT programs, non-ACAT acquisition programs, non-acquisition programs, and rapid deployment capability programs are satisfied in the development of each PPBS phase.

FYDP funding shall be shown at each milestone (except Milestone 0) or other program review. If the preferred alternative exceeds the FYDP funding, then an alternative which can be executed within approved funding shall also be presented.

If the MDA selects an alternative which exceeds FYDP resources, then the need for additional resources shall be identified to CNO(N8). CNO (N8) shall forward the recommended resource action to Secretary of the Navy (SECNAV), Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)), or MDA, as appropriate, with a copy to ASN(RD&A)(if not the MDA) and the Assistant Secretary of the Navy (Financial Management) (ASN(FM)). SECNAV, ASN(RD&A), or the MDA, as appropriate, shall direct appropriate action.

2.6 Supportability

See reference (b), paragraph 2.6, for guidance.

2.7 Advanced Concept Technology Demonstrations (ACTDs)

See reference (b), paragraph 2.7, for guidance.

Part 3

Program Structure

- Reference:
- (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96
 - (b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96
 - (c) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95
 - (d) CJCS MOP 77, "Requirements Generation System, Policies and Procedures", 17 Sep 92
 - (e) SECNAVINST 4000.36, "Technical Representation at Contractor's Facilities," 28 Jun 93
 - (f) MCO 3960.2B, "Marine Corps Operational Test and Evaluation Activity," 24 Oct 94

3.1 Purpose

The purpose of this part is to identify the elements that are necessary to structure a successful program. These elements are contained in strategies proposed by the Program Manager (PM), endorsed by Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) and approved by the Milestone Decision Authority (MDA). See references (a) and (b) for further guidance.

3.2 Program Goals

PMs shall establish program goals as defined in reference (b), part 3, paragraph 3.2, for all DON programs. PMs shall not make trade-offs in cost, schedule, and/or performance outside of the trade space between objectives and thresholds defined by the program's goals without first obtaining approval from CNO/CMC and the MDA.

3.2.1 Objectives and Thresholds

See reference (b), paragraph 3.2.1, for guidance.

3.2.2 Acquisition Program Baselines

Every acquisition program shall establish an Acquisition Program Baseline (APB) that documents the cost, schedule, and performance objectives and thresholds of that program as defined by reference (b), Part 3, paragraph 3.2.1.

3.2.2.1 Preparation and Approval

ACAT I and II APBs shall be prepared by the PM, endorsed by CNO/CMC, concurred with by the Program Executive Officer (PEO), SYSCOM Commander, or DRPM, as appropriate, and approved by the MDA. ACAT III and IV APBs shall be prepared by the PM, endorsed by the CNO/CMC (CG MCCDC), and approved by the MDA. APBs shall be prepared and approved at the program's initiation; revised and/or updated at each subsequent program milestone decision; and revised following a program restructure or an unrecoverable program deviation. For ACAT IC programs, the APB shall not be approved without the coordination of the Under Secretary of Defense (Comptroller) (**10 USC 2220(a)(2)**) and the Joint Requirements Oversight Council (JROC).

3.2.2.2 APB Content

APB content shall meet the requirements of reference (b), Part 3, paragraph 3.2.1.2. Revised APBs that result from program modifications (See the table in this instruction, enclosure (1), paragraph 1.4.5.2) also must meet the reference (b) content requirements.

3.2.3 Exit Criteria

Reference (b), Part 3, paragraph 3.2.2 requires ACAT I and ACAT IA programs to use exit criteria to meet the requirement in **10 USC 2220(a)(1)** for goals during an acquisition phase.

MDAs shall also establish exit criteria in the ADM for each phase for ACAT II, III, and IV programs.

See reference (b), Part 3, paragraph 3.2.2, for status reporting and further guidance required for exit criteria.

3.3 Acquisition Strategy

PMS for ACAT IC, II, III, and IV programs shall develop an acquisition strategy in accordance with reference (b), Part 3, paragraph 3.3.

3.3.1 Sources

See reference (b), paragraph 3.3.1, for guidance.

3.3.2 Cost, Schedule, and Performance Risk Management

Program Managers shall access data bases for current technical and management lessons-learned during system development and modification. Some data bases are listed in the Deskbook (DON Section). See reference (b), paragraph 3.3.2, for further guidance.

3.3.3 Cost as an Independent Variable (CAIV)

The CAIV concept shall be applied to ACAT II, III, and IV programs, when directed by the MDA. See reference (b), paragraph 3.3.3, for further guidance.

3.3.3.1 Cost/Performance Tradeoffs

For DON ACAT IC, IAC, and II programs, an Acquisition Coordination Team (ACT) shall be used to provide cost-performance tradeoff analysis support, as appropriate. Cost-performance tradeoffs shall also be performed for ACAT III and IV programs and an ACT, if established, shall provide tradeoff support as approved by the MDA. See reference (b), paragraph 3.3.3.1, for further guidance on ACAT ID and IA programs.

3.3.3.2 Cost Management Incentives

See reference(b), paragraph 3.3.3.2, for guidance.

3.3.4 Contract Approach

See reference (b), paragraph 3.3.4, for guidance.

3.3.4.1 Competition

See reference (b), paragraph 3.3.4.1, for guidance.

3.3.4.2 Best Practices

See reference (b), paragraph 3.3.4.2, for guidance.

3.3.4.3 Cost Performance

See reference (b), paragraph 3.3.4.3, for guidance.

3.3.4.4 Advance Procurement*

See reference (b), paragraph 3.3.4.4, for guidance.

* Not applicable to IR programs.

3.3.4.5 Continuous Acquisition and Life-Cycle Support (CALS)(Digital Data)

See reference (b), paragraph 3.3.4.5, for guidance.

3.3.5 Management Approach

See reference (b), paragraph 3.3.5, for guidance.

3.3.5.1 Streamlining

See reference (b), paragraph 3.3.5.1, for guidance.

3.3.5.2 International Considerations*

See reference (b), paragraph 3.3.5.2, for guidance.

* Not applicable to IR programs.

3.3.5.3 Joint Program Management

When the Marine Corps is considering involvement in another service program that is past Milestone I, but pre-Milestone III, and there has been no formal previous involvement, it will establish an operating agreement with the lead service defining Marine participation in the program. This operating agreement shall include funding, Marine Corps participation in joint documentation and reviews, joint program management, and joint logistics support.

When the Marine Corps is considering involvement in another service program that is past Milestone III, and when there has been no formal involvement, the decision to forward funds to the lead service will be supported by:

1. Documentation. Other service milestone documentation, supported by a Marine Corps endorsement, will be used to the maximum extent possible. Any unique Marine Corps requirements will be addressed by separate correspondence.
2. Decision. The information requirements to support the Marine Corps decision associated with the other service program will follow the general guidelines of reference (c). As a minimum, the Commanding General, Marine Corps Combat Development Command (CG MCCDC) and the Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA) will participate.

When the ASN(RD&A) approves withdrawal from a program, CNO (N8) will prepare necessary briefing material and correspondence to support ASN(RD&A)'s withdrawal decision. See reference (b), paragraph 3.3.5.3, for further guidance.

3.3.5.3.1 OPNAV Interface with other Services

CNO (N81) shall staff MNSs received from the other Services for assessment of Joint Potential Designator (JPD) assignment in compliance with reference (d) and, in turn, shall provide Navy MNSs to the other Services for their JPD

determination. ORDs which have MNSs evaluated as Joint or Joint Interest, or are not preceded by a MNS, shall also be staffed among the Services for JPD reassessment or assessment, as appropriate. All MNSs/ORDs shall have a JPD before final approval.

3.3.5.4 Assignment of Program Executive Officer Responsibility

See reference (b), paragraph 3.3.5.4, for guidance.

3.3.5.5 Technical Representatives at Contractor Facilities

Reference (e) provides procedures for the use of Navy Technical Representatives at contractor's facilities. See reference (b), paragraph 3.3.5.5, for further guidance.

3.3.5.6 Information Sharing and DoD Oversight

See reference (b), paragraph 3.3.5.6, for guidance.

3.3.6 Environmental, Safety, and Health Considerations

See reference (b), paragraph 3.3.6, for guidance.

3.3.7 Sources of Support

See reference (b), paragraph 3.3.7, for guidance.

3.3.8 Warranties

See reference (b), paragraph 3.3.8, for guidance.

3.3.9 Evolutionary Acquisition and Preplanned Product Improvement

When an Evolutionary Acquisition (EA) strategy is used to field a core capability and there are subsequent modifications to the initial fielded core capability, such modifications shall satisfy a validated requirement and be supportable in the operational environment.

EA modifications to the core capability shall be funded, developed, and tested in manageable increments. Each increment shall be managed as a modification in accordance with this instruction, enclosure (1), paragraph 1.4.5.2, and reference (b).

Preplanned Product Improvement (P3I) modifications shall also satisfy a validated requirement and be supportable in the operational environment.

3.4 Test and Evaluation

Early involvement between the Developing Activity (DA) and the Operational Test Authority (OTA) (OPTEVFOR/MCOTEA) is required to insure that both have a common understanding of the system requirements and that developmental and operational testing is tailored to optimize cost, schedule, and performance. Specific procedures for IR programs and exceptions to the general T&E procedures are contained in this instruction, enclosure (7), Appendix III. The Commander, Marine Corps Systems Command (COMMARCORSYSCOM) and Director, MCOTEA are the principals responsible for DT&E and OT&E, respectively, within the Marine Corps. Reference (f) establishes MCOTEA as the Marine Corps independent operational T&E activity responsible for adequate testing, objective evaluation, and independent reporting in support of the Marine Corps acquisition process. See reference (b), paragraph 3.4, for further guidance.

3.4.1 Test and Evaluation Strategy

Any environmental analysis required under 42 United States Code 4321-4347 or Executive Order 12114 shall be completed before the decision is made to proceed with either a developmental or operational test that may affect the quality of the physical environment. See reference (b), paragraphs 3.4.1 and 4.3.7, for further guidance.

3.4.2 Developmental Test and Evaluation Policies

Developmental Test and Evaluation (DT&E) is required for all developmental acquisition programs. For DON programs, DT&E shall be conducted by the DA through contractor testing or government test and engineering activities. Combined Developmental Testing/Operational Testing (DT/OT) shall be pursued whenever possible to reduce program costs, improve program schedule and provide early visibility of performance issues.

3.4.2.1 Interoperability Testing and Certification

For C4I systems, interoperability testing shall be conducted to ensure that ORD requirements are met. Interoperability testing consists of two major areas, Navy-Marine Corps interoperability testing and joint service interoperability testing.

1. Marine Corps-unique interfaces shall be tested during DT&E by MARCORSYSCOM.

2. Navy or Marine Corps joint service interoperability testing shall be accomplished during DT&E by the Joint Interoperability Test Center, Fort Huachuca, AZ.
3. The PM shall have system interoperability certified prior to Milestone III.

3.4.2.2 DT&E of Amphibious Vehicles

All DT&E of amphibious vehicles and amphibious tests of other equipment or systems used by a landing force in open seaways shall be conducted by, or be under the direct supervision of, the COMMARCORSYSCOM with appropriate Naval Sea Systems Command (NAVSEASYSCOM) or PEO/DRPM coordination. The Director, MCOTEA shall ensure that OT&E of such systems is planned, scheduled and evaluated with appropriate coordination with OPTEVFOR.

3.4.2.3 Aircraft and Air Traffic Control (ATC) Equipment

The Chief of Naval Operations (CNO) shall be responsible for satisfying Marine Corps requirements for aircraft and Air Traffic Control (ATC) equipment as defined by the CMC. DT&E of naval aviation systems shall be accomplished under the direction of Naval Air System Command (NAVAIRSYSCOM) at Navy test activities. DT&E of ATC equipment shall be accomplished under the direction of Space and Naval Warfare Systems Command (SPAWARSYSCOM) at Navy test activities. PEOs/DRPMs shall be responsible for DT&E of assigned equipment.

3.4.3 Certification of Readiness for Operational Test and Evaluation

See reference (b), paragraph 3.4.3, for further guidance.

3.4.3.1 Navy Criteria for Certification

The Navy criteria for certification of readiness to begin operational testing shall be:

1. The TEMP is current and approved.
2. All DT&E objectives and performance thresholds have been met, or projected to be at system maturity, and results indicate that the system will perform successfully in OT&E and will meet the criteria for approval at the next program decision milestone (e.g., Full Rate Production on completion of OPEVAL). All DT&E testing data has been published and distributed. With the exception of combined DT/OT, the DA/PM shall

provide available developmental test reports and data, for possible use in supplementing operational test data, for all programs undergoing OT&E, not less than 30 days prior to the commencement of operational testing.

3. The results of DT&E demonstrate that all significant design problems (including comparability, electromagnetic environmental effects, interoperability, survivability/vulnerability, maintainability, availability, human factors, and logistics supportability) have been identified and corrective actions are in process.
4. System operating and maintenance documents, including 3M and Preliminary Allowance Parts List (PAPL), have been distributed to COMOPTEVFOR.
5. Adequate logistic support, including spares, repair parts, and support/ground support equipment is available as documented in the TEMP. Discuss any logistics support which should be used during OT&E, but will not be used with the system when fielded (e.g., contractor provided depot level maintenance) in the certification message.
6. The system technical documentation such as Failure Modes, Effects, and Criticality Analyses (FMECA), Level of Repair Analyses (LORA), Life Cycle Cost (LCC), and Logistic Support Analyses (LSA) have been provided to COMOPTEVFOR.
7. The OT&E manning of the system is adequate in numbers, rates, ratings, and experience level to simulate normal operating conditions.
8. The Navy Training Plan has been provided to COMOPTEVFOR.
9. Training for personnel who will operate and maintain the system during OT&E (including OPTEVFOR personnel) has been completed, and this training is representative of that planned for fleet units under the Navy Training Plan.
10. All resources required for operational testing such as instrumentation, simulators, targets, and expendables have been identified, planned, are listed in the TEMP, and all appropriate documents are available.

11. The system provided for OT&E, including software and the total logistics support system, is production representative. If this is not the case, a waiver (see paragraphs 3.4.3.6 or 3.4.3.7) must specify the difference between the system to be used for test and the final production configuration.
12. All threat information required for OT&E (e.g., threat system characteristics and performance, electronic countermeasures, force levels, scenarios and tactics) is available and a list of such information (including security classifications) has been provided to COMOPTEVFOR.
13. The system safety program has been completed.
14. The system complies with Navy occupational safety and health/hazardous waste requirements, where applicable.
15. Software development metrics (e.g., TBD) have been satisfied.
16. A Statement of Functionality, describing the software capability, has been provided to OPTEVFOR.
17. For programs employing software, there are no unresolved Priority 1 Software Trouble Reports (STRs).
18. For aircraft programs, there are no unresolved Board of Inspection and Survey (INSURV) Part I (*) or Part I (**) deficiencies.

3.4.3.2 Marine Corps Criteria for Certification

The Marine Corps criteria for certification of readiness to begin operational testing shall be:

1. The TEMP is current and approved.
2. The DT&E has been completed and the reports published.
3. All DT&E objectives and performance thresholds have been met. All failures and deficiencies, to include those identified in previous OT&E, have been corrected. (Note: If all have not been corrected, the PM shall ensure that uncorrected failures or deficiencies are addressed in the certification letter.)

4. DT&E of embedded computer systems, including hardware, firmware, and software, has satisfied the Marine Corps standard criteria for computers and warrants proceeding into OT&E.
5. Deviations have been addressed where expected reliability of the system differs from the requirements documents.
6. The results of DT&E demonstrate that all significant design problems (including compatibility, electromagnetic environmental effects, interoperability, survivability/vulnerability, producibility, reliability, availability, maintainability, human factors, and logistical supportability) have been identified and solutions are in hand.
7. The system provided for OT&E, including software and the total logistics support system, is production representative. If the system is not production representative, the PM shall describe the differences in the certification correspondence.
8. It is expected that the system will perform successfully in OT&E, and will meet the criteria for approval for full-rate production on completion of OT&E.
9. Required training for personnel who will operate and maintain the system during OT&E (including MCOTEA personnel) has been completed, and this training is representative of that planned for the FMF units having the system.
10. System operating and maintenance manuals have been distributed for OT&E.
11. The OT&E manning for the system is the same in numbers, rates, ratings, and experience level as is planned for FMF units under normal operating conditions.
12. The Manpower and Training Plan has been approved and provided to the Director, MCOTEA.
13. Adequate logistics support, including spares, repair parts, and support and test equipment are available for the OT&E. Discuss any logistics support which should be used during OT&E, but will not be used with

the system when fielded (e.g., contractor provided depot level maintenance) in the certification letter.

14. All resources required for OT&E (e.g., instrumentation, targets, expendables, operations security) have been planned, are listed in the TEMP, and are available.
15. All threat information required for OT&E (e.g., threat system characteristics and performance, electronic countermeasures, force levels, scenarios, and tactics) is available.
16. Any changes to the Concept of Employment (COE) are identified and provided in the Test Support Package (TSP).
17. The system technical documentation, such as Failure Modes, Effects, and Criticality Analysis (FMECA), Level of Repair Analyses (LORA), Life-Cycle Cost (LCC) and logistics support analyses, has been provided to the Director, MCOTEA.
18. The system is safe to use in accordance with the COE. Any restrictions to safe employment are stated.

3.4.3.3 Navy Procedures for Certification

1. Prior to certifying readiness for OT&E, the SYSCOM/PEO/DRPM/PM shall convene an Operational Test Readiness Review (OTRR) or similar forum. This review shall include all members of the testing team (DT&E and OT&E) including representatives from CNO (N912), the Program Sponsor, and COMOPTEVFOR.
2. After completing DT&E and the COMOPTEVFOR distribution of the OT&E test plan (normally 30 days prior to OT&E), and when the DA determines that a system is ready for OT&E, the DA shall:

a. For Programs Without Waivers (see paragraphs 3.4.3.6 and 3.4.3.7 for waiver procedures). Notify OPTEVFOR by message with "info copy" to CNO (N091), the Program Sponsor, fleet commands, INSURV (for ships/aircraft), and other interested commands, of the system's readiness for OT&E. The message will certify that the system is ready for OT____(phase) as required by the TEMP.

b. For Programs Requesting Waivers (see paragraphs 3.4.3.6 and 3.4.3.7 for waiver procedures). Address the

certification to CNO (N091) with "info copy" to OPTEVFOR, and others listed above.

3.4.3.4 Marine Corps Procedures for Certification

1. COMMARCORSYSCOM shall certify to CMC that the system is safe and ready for operational testing. This certification includes an information copy for the Director, MCOTEA and MCCDC (C441).
2. Approximately 30 days prior to the start of an OT&E, an OTRR will be chaired and conducted by the Director, MCOTEA. OTRR participants shall include the OT&E Test Director and Assistant Test Director, representatives from the PM, MARCORSYSCOM (PA&E and PSE-T) and MCCDC (C441). The purpose of the OTRR is to determine the readiness of a system, support packages, instrumentation, test planning, and test participants to support the OT. It shall identify any problems which may impact the start or proper execution of the OT, and make any required changes to test plans, resources, training, or equipment.
3. MCOTEA shall select OTRR agenda issues based on a review of DT&E results and related program documentation, including Certification of Equipment to be Safe and Ready for OT&E. MCOTEA shall also review all OT&E planning for discussion at the OTRR. OTRR agenda items may be nominated by all OTRR attendees.

3.4.3.5 Aircraft OPEVALs Certification Procedures

In addition to the above certification by the DA for aircraft acquisition programs, INSURV shall submit an independent technical assessment of readiness for OPEVAL to CNO (N091) and COMOPTEVFOR. For unresolved Part I deficiencies, CNO (N88) or designee, shall chair a conference with members from COMNAVAIRSYSCOM/PEO/DRPM, INSURV, and CNO (N091) to review status prior to the OTRR. The chair will then make a written report to CNO (N88) with action recommendations and with any dissenting opinions noted. CNO (N88) has authority to withhold introduction, or waive, temporarily or permanently, Part I deficiencies. This report will be made available to the OTRR board.

3.4.3.6 Navy Waivers

There are two kinds of waivers:

1. Waivers from compliance with the criteria for certification cited in paragraph 3.4.3.1.
2. Waivers for deviations from the testing requirements directed by the TEMP.

3.4.3.7 Navy Waiver Requests

Waivers shall be requested in the OT&E certification message (see this instruction, enclosure (7), Appendix III). If a waiver request is anticipated, the PM shall coordinate with the Program Sponsor, CNO (N912), and OPTEVFOR prior to the OTRR or similar review forum. Use of the ACT or IPT, Test Planning Working Group (TPWG), or similar forum is also recommended to ensure full understanding of the impact on operational testing. Approval of a waiver request shall not alter the requirement, and the waived items shall be tested in subsequent operational testing.

1. When requesting a waiver, the PM shall outline the limitations that the waiver will place upon the system under test, the upcoming operational testing, and their potential impacts on fleet use. Further, a statement shall be made in the OT&E certification message noting when the waived requirement will be available for subsequent operational testing.
2. CNO (N091) shall approve waivers, as appropriate. CNO (N091) shall coordinate waiver requests with COMOPTEVFOR, CNO (N4, N8), and the Program Sponsor.
3. A waiver may result in Limitations to the Scope of Testing (LIMSCOPE) that precludes COMOPTEVFOR from fully resolving all Critical Operational Issues (COIs).
4. Waived items shall not be used in COMOPTEVFOR's analysis to resolve COIs, but may be commented on in the "Operational Considerations" section of the test report.

3.4.3.8 Marine Corps Waivers

If full compliance with the certification criteria is not achieved, but the deviations are minor, MARCORSYSCOM shall request in the certification correspondence that MCCDC (C441) grant a waiver to allow OT to begin. Justification shall be provided for the waivers. DAs/PMs shall make every attempt to meet all of the readiness criteria before certification. If the need for a waiver is anticipated, the PM shall identify the

waiver to MARCORSYSCOM (PSE) when establishing the schedule for the OTRR. Waivers shall be fully documented prior to the OTRR.

3.4.3.9 Navy Start of Testing

COMOPTEVFOR may start testing upon receipt of a certification message unless waivers are requested.

3.4.3.10 Navy Program Decertification

A decertification message is originated by the DA, after coordination with the Program Sponsor, to withdraw the system certification and stop the operational test. It is sent when evaluation of issued deficiency reports or other information indicates the system will not successfully complete OT&E. Withdrawal of certification shall be accomplished by DA message to CNO (N091) and COMOPTEVFOR stating, if known, when the system will be evaluated for recertification and subsequent restart of testing.

3.4.3.11 Navy Recertification

When a system undergoing OT&E or OPEVAL has been placed in deficiency status, the DA must recertify readiness for OT&E or OPEVAL prior to restart of testing in accordance with paragraph 3.4.3.

3.4.4 Modeling and Simulation

See reference (b), paragraph 3.4.4, for guidance.

3.4.5 Operational Test and Evaluation Policies

See reference (b), paragraph 3.4.5, for guidance.

3.4.5.1 Visitors

Observers and other visitors shall not normally be permitted during operational testing. If, during operational testing, a situation arises that requires a unit commander to report to seniors in the unit commander's chain of command via an Operational Report (OPREP) or similar report, test results shall be divulged only to the degree necessary for the OPREP.

3.4.5.2 Operational Test and Evaluation Activities

OT&E shall be conducted by COMOPTEVFOR or the Director, MCOTEA, or their designated executive test agents. Reference (b) requires an independent organization, separate from the DA and from the user commands, to be responsible for all OT&E.

COMOPTEVFOR is designated the Navy's independent operational test organization. COMOPTEVFOR is responsible for planning and conducting OT&E, reporting results, providing evaluations of each tested system's operational effectiveness and suitability, identifying system deficiencies and developing tactics. The Director, MCOTEA shall be responsible for operational effectiveness, suitability, and logistics supportability of amphibious systems, munitions, weapons, armored equipment, ATC equipment, etc.

3.4.6 Operational Test and Evaluation Plans

See reference (b), paragraph 3.4.6, for guidance.

3.4.7 Use of System Contractors in Support of Operational Test And Evaluation

See reference (b), paragraph 3.4.7, for guidance.

3.4.8 Production Qualification Test and Evaluation

See reference (b), paragraph 3.4.8, for guidance.

3.4.9 Live Fire Test and Evaluation

See reference (b), paragraph 3.4.9, for guidance.

3.4.10 Foreign Comparative Testing

See reference (b), paragraph 3.4.10, for guidance.

3.4.11 Test and Evaluation Master Plan (TEMP)

TEMPs shall be required for all DON ACAT II, III, and IV programs. See reference (b), paragraph 3.4.11, for further guidance regarding TEMP requirements.

3.4.11.1 Ship Programs

For ship programs not requiring Operational Test and Evaluation (OT&E), TEMP requirements shall be satisfied by performance standards within the shipyard test program, as well as Builder's Trials, Acceptance Trials, and Final Contract Trials, specified in the contract and in specifications invoked on the shipbuilder. These foregoing trials shall normally be observed by representatives of the cognizant PEO/DRPM or Naval Sea Systems Command shipbuilding program office, the Supervisor of Shipbuilding for the respective shipyard, and INSURV.

3.4.11.2 Measures of Effectiveness (MOEs) and Measures of Performance (MOPs)

For DON programs, MOEs and MOPs shall be consistent among the ORD, Acquisition Program Baseline (APB) and the TEMP. The TEMP shall document in Part I how MOEs and MOPs will be addressed in T&E.

3.4.11.3 Thresholds

Separate performance thresholds for DT and for OT, where appropriate, shall be established. The technical parameters, threshold values, and issues used for DT shall be established by the Program Manager (PM), whereas the operational parameters and issues which shall be used for OT are incorporated in Part IV of the TEMP by COMOPTEVFOR/MCOTEA. The numerical values for DT and OT shall be derived from the performance parameters established in the ORD.

3.4.11.4 Navy Briefing

1. For OSD oversight programs, COMOPTEVFOR shall provide test plan briefings to DOT&E. The PM shall be briefed prior to DOT&E. A copy of the OT&E Test Plan shall be provided by COMOPTEVFOR to CNO (N091).
2. For non-DoD oversight programs within the Navy, COMOPTEVFOR will brief the OT&E test plan concept to the PM prior to DT&E or TECHEVAL and brief the detailed operational test plan to the PM prior to OT&E or OPEVAL. This shall be scheduled to allow an adequate review prior to beginning OT&E. With the exception of combined DT/OT, DT data and results shall be provided to COMOPTEVFOR not less than 30 days prior to the beginning of OT. This will allow COMOPTEVFOR adequate time to determine the amount of DT data usable to supplement OT, thereby allowing for a possible reduction in the extent of OT.
3. For all programs within the Navy, the DA shall ensure COMOPTEVFOR participation in the DT&E test plan 30 days prior to the [TBD].

3.5 Life-Cycle Resource Estimates

See reference (b), para 3.5.1, for further guidance.

3.5.1 Life-Cycle Cost Estimates

NCCA analysts shall participate in developing life-cycle cost estimates for ACAT I and II programs, particularly in the

early resolution of cost issues. MDAs may request that similar NCCA assistance be used in developing life-cycle cost estimates for ACAT III and IV programs. The ACT shall consider the use of appropriately tailored Cost Analysis Requirements Descriptions (CARDS) for ACAT II programs to clarify details not found in other documentation and to document assumptions. CARD templates are located in the Deskbook (DON Section).

For DON ACAT IC programs, the Office of the Secretary of Defense (OSD) Cost Analysis Improvement Group (CAIG) shall prepare an independent life-cycle cost estimate and a report for milestone reviews.

For other DON programs (or cost elements within programs) with significant cost risk or high visibility, the MDA may request that NCCA prepare a cost analysis to supplement the program office life-cycle cost estimate.

3.5.2 Manpower Estimates (MEs)

DON MEs, required for ACAT I programs, shall be approved by CNO (N12)/CMC (DC/S M&RA). See reference (b), paragraph 3.5.2, for further guidance.

3.6 Program Plans

Program plans belong to the PM and are to be used by the PM to manage program execution throughout the life-cycle of the program. The PM, in coordination with the ACT, when established, shall determine the type and number of program plans. Except for the TEMP, program plans are not required to support a milestone decision and shall not be used as milestone documentation or periodic reports. With the exception of the Acquisition Plan, TEMP, Navy Training Plan (NTP), and Technology Assessment and Control Plan (TACP), any program plans required shall be approved by the PM. The Acquisition Plan shall meet FAR requirements.

Part 4

Program Design

- Reference:
- (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96
 - (b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96
 - (c) ISO 9001 "Quality Systems - Model for quality assurance in design/development, production, installation and servicing"
 - (d) ISO 9002 "Quality Systems - Model for quality assurance in production, installation and servicing"
 - (e) USD(A&T) memorandum, "Single Process Initiative," 8 Dec 95
 - (f) SECNAVINST 4855.3, "Product Deficiency Reporting and Evaluation Program (PDREP)," 31 Mar 87
 - (g) SECNAVINST 4855.5, "Product Quality Deficiency Report Program," 27 Nov 89
 - (h) SECNAVINST 4855.6, "Navy Quality Deficiency Reporting Program," 3 Feb 88
 - (i) MCO 4855.10B, "Product Quality Deficiency Report (PQDR)," 26 Jan 93
 - (j) SECNAVINST 5432.2A, "Ada Programming Language Policy," 28 Apr 94
 - (k) MCO 3093.1C, "Intraoperability and Interoperability of Marine Corps Tactical C4I2 Systems," 15 Jun 89
 - (l) Assistant Secretary of the Navy (Research, Development and Acquisition) Memorandum, "Implementation of Department of Defense Policy On Specifications and Standards," 27 Jul 94
 - (m) Assistant Secretary of the Navy (Research, Development and Acquisition) Memorandum, "Navy Implementation of Department of Defense Policy On Specifications And Standards Reform," 21 Dec 94
 - (n) Office of Management and Budget (OMB) Circular A-119, "Federal Participation in the Development and Use of Voluntary Standards," 20 Oct 93
 - (o) OPNAVINST 2400.20E, "Navy Management of the Radio Frequency Spectrum," 19 Jan 89
 - (p) OPNAVINST 2450.2, "Electromagnetic Capability Program Within the Department of the Navy," 8 Jan 90

- (q) DoD Instruction 5000.56, "Programming Unique Mapping, Charting, and Geodesy (MC&G) Requirements for Developing Systems," 11 Sep 91
- (r) SECNAVINST 5430.79B, "Naval Oceanography Policy, Relationships and Responsibilities," 14 Jul 86
- (s) SECNAVINST 5200.39, "Participation in the Government-Industry Exchange Program," 22 Jun 95

4.1 Purpose

The purpose of this part is to establish the basis for a comprehensive, structured, integrated and disciplined approach to the design of weapons and automated information systems, applicable to all Navy and Marine Corps acquisitions in accordance with references (a) and (b).

4.2 Integrated Process and Product Development

Systems Command (SYSCOM) Commanders, Program Executive Officers (PEOs), Direct Reporting Program Managers (DRPMs), and Program Managers (PMs) shall ensure the elements of Integrated Process and Product Development (IPPD) are implemented in executing all programs under their cognizance. See reference (b), paragraph 4.2, for further guidance.

4.2.1 Integrated Product Teams and IPPD

PMs shall ensure design activities implement the procedures necessary to concurrently develop products and their associated processes. Development efforts shall result in an optimal product design and associated manufacturing, test, and support processes that meet the user's needs. See reference (b), paragraph 4.2.1, for further guidance.

4.3 Systems Engineering

PMs shall use a systems engineering process to translate operational requirements into a system solution that includes the design, test, manufacturing and support processes and products.

The following subject areas shall be part of the systems engineering process and their impact on the product design shall be determined with respect to total system cost, schedule, performance, and technical risk. See reference (b), paragraph 4.3, for further guidance.

4.3.1 Manufacturing and Production

See reference (b), paragraph 4.3.1, for guidance.

4.3.2 Quality

References (c) and (d) shall be used as basic models for quality management systems. Contractors may propose equivalent systems, as long as they are technically acceptable and accomplish program objectives. The use of advanced quality practices and quality requirements shall be considered, if necessary, to assist in reducing risk, assuring quality and controlling costs.

For existing contracts, the procedures set forth in reference (e) shall be applied to all Navy contractors proposing a transition from MIL-Q-9858 to the ISO 9000 series, or equivalent.

4.3.2.1 Deficiency Reporting

Reference (f) provides policies, procedures and responsibilities for implementing and monitoring a unified, automated product deficiency reporting and evaluation system.

Reference (g), provides procedures for reporting product deficiencies across component lines.

Reference (h) provides specific Navy procedures for quality deficiency reporting and administration.

Reference (i) provides specific Marine Corps product quality deficiency reporting procedures.

4.3.3 Acquisition Logistics

The PM shall use the Acquisition Coordination Team (ACT) to the maximum practical extent to ensure that acquisition logistics is given the appropriate level of attention during the acquisition process. See reference (b), paragraph 4.3.3, for further guidance.

4.3.3.1 Supportability Analyses

1. Supportability analyses are a key part of the overall acquisition strategy, source selection, and system design and shall be accomplished in support of these activities throughout the acquisition process.
2. Supportability analyses shall support acquisition planning, level of repair and reliability-centered maintenance decisions, program tradeoffs, and forming contract provisions.

See reference (b), paragraph 4.3.3.1, for further guidance.

4.3.3.2 Support Concepts

Support concepts shall satisfy user requirements for meeting and sustaining readiness thresholds and objectives, responsible transition to the support and maintenance infrastructure, and life-cycle cost effectiveness. Acquisition plans shall address and document compliance with the following four criteria for developing an executable support concept:

1. Total cost of ownership
2. Maintenance concepts
3. Standardization
4. Support

See reference (b), paragraph 4.3.3.2, for further guidance.

4.3.3.3 Support Data

The Navy's database for the dissemination of weapon system Operating and Support (O&S) costs is the Navy Visibility and Management of Operating and Support Costs (VAMOSC). Naval Center for Cost Analysis (NCCA) shall have overall responsibility for transfer of O&S data into VAMOSC. See reference (b), paragraph 4.3.3.3, for further guidance.

4.3.3.4 Support Resources

Support analyses shall determine Integrated Logistics Support (ILS) resource requirements for the program's initial planning, execution, and life-cycle support. Requests for approval for fleet introduction/service use shall show adequate support resources to meet and sustain support performance threshold values and demonstrate adequate means to transition support to organic support infrastructure, if planned. See reference (b), paragraph 4.3.3.4, for further guidance.

4.3.4 Open Systems Design

See reference (b), paragraph 4.3.4, for guidance.

4.3.5 Software Engineering

For ACAT II, III, and IV programs, the Milestone Decision Authority (MDA) will provide specific mandatory guidance. See reference (b), paragraph 4.3.5, for ACAT I program guidance.

Software Language

Selection of software programming languages shall be governed by reference (b). The DON Ada waiver policy is contained in reference (j).

4.3.6 Reliability, and Maintainability, and Availability

These elements are an integral part of the systems engineering process and establish the basis for a comprehensive effort designed to assure meeting mission needs and reducing life-cycle ownership costs.

To establish adequate and complete performance requirements, a design reference mission profile shall be developed from the ORD that includes functional and environmental profiles that:

1. Define the boundaries of the performance envelope,
2. Provide the timelines (e.g., environmental conditions and applied or induced stresses over time) typical of operations within the envelope, and
3. Identify all constraints (e.g., conditions of storage, maintenance, transportation, and operational use), where appropriate.

Mission or safety-critical single point failures shall be avoided. If a mission or safety-critical single point failure mode cannot be eliminated through design, the design must be made robust (e.g., insensitive to the causes of failure, exhibiting graceful degradation) or redundant.

Dormant reliability analyses shall be done and an aging and surveillance program shall be established for pyrotechnics, explosives, rocket motors, and other items that have limited or require minimum shelf-lives.

Parts derating criteria shall be mutually agreed between the contractor and the government and must consider past component history, environmental stresses, and component criticality. Parts stress analysis and testing shall be performed to verify compliance with agreed-to derating criteria under worst-case mission profile environments.

NDI or COTS items shall be shown to be operationally suitable for their intended use and capable of meeting their allocated reliability requirements.

For electronic circuitry, electrostatic discharge control procedures shall be included in the design, manufacturing, packaging, handling, and repair processes.

Reliability growth testing using mission profile environments, shall be used to assure design maturity prior to operational testing. The results of formal reliability growth tests shall be used, when appropriate, to verify compliance with required contractual performance objectives and thresholds.

Predictions shall not be used to verify compliance with required contractual performance objectives and thresholds.

See reference (b), paragraph 4.3.6, for further guidance.

4.3.7 Environmental, Safety, and Health

The Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) is responsible for ensuring DON acquisition programs comply with DON environmental policy and is the focal point for all DON acquisition environmental issues.

The Assistant Secretary of the Navy (Installations and Environment) (ASN(I&E)) is responsible for formulating DON Environmental, Safety, and Health (ESH) policy. ASN(I&E) advises ASN(RD&A) on environmental issues, to include review and comment on or endorsement of environmental documents.

The Chief of Naval Operations (CNO) and Commandant of the Marine Corps (CMC) shall support ASN(RD&A) in developing ESH requirements, recommending acquisition ESH policy guidance, assisting in ESH policy implementation, and providing ESH advice and assistance to acquisition personnel.

4.3.7.1 National Environmental Policy Act

The ASN(RD&A) shall provide final approval authority for acquisition-related National Environmental Policy Act (NEPA) and Executive Order (EO) 12114 documents. Approval of Records of Decisions (RODs) under NEPA may not be delegated. The Environmental Documentation Process tables for NEPA and EO 12114 on the next two pages shall be followed by all programs where ESH analysis determines there is a need for NEPA or EO 12114 documentation. See reference (b), paragraph 4.3.7.1, for further guidance.

4.3.7.2 Environmental Compliance

The SYSCOM Commander, PEO, and PM are responsible for environmental planning and compliance with environmental requirements for DON acquisition programs. See reference (b), paragraph 4.3.7.2, for guidance.

ENVIRONMENTAL DOCUMENTATION PROCESS--NEPA

| DOCUMENT | PREPARED BY | ASSISTANCE/ CONCURRENCE BY | REVIEW/ ENDORSEMENT BY | APPROVAL/ SIGNATURE BY |
|---|--------------------|---|--|-----------------------------------|
| Categorical Exclusion (CATEX) NOTE: Action could take 1 week to 2 months | PM or Designee | PEO/SYSCOM/DRPM Installation CO | ASN(I&E), Info Copy | PM |
| Environmental Assessment (EA) NOTE: Action could take 4-6 months. | PM or Designee | PEO/SYSCOM/DRPM Installation CO Counsel | CNO/CMC, DRAFT, Review ¹ CNO/CMC, FINAL, Endorse Counsel, Review | MDA, Approve |
| Finding of No Significant Impact (FONSI) NOTE: Action could take 2 months (after EA completion) | PM or Designee | PEO/SYSCOM/DRPM Installation CO Counsel | CNO/CMC, Endorse ¹ Counsel, Review ² ASN(I&E), Info Copy | MDA, Sign ³ |
| Environmental Impact Statement (EIS) NOI/DEIS/FEIS) NOTE: Action could take 12 to 18 months or longer. | PM or Designee | CNO/CMC PEO/SYSCOM/DRPM Counsel | CNO/CMC, Review Counsel, Review ASN(I&E), Endorse | ASN(RD&A), Approve |
| Record of Decision (ROD) NOTE: Action could take 2 to 4 months (after completion of EIS). | PM/CNO/CMC | PEO/SYSCOM/DRPM Counsel | CNO/CMC, Review Counsel, Review ASN(I&E), Endorse | ASN(RD&A), Sign ³ |

(See footnotes for the NEPA table below the EO 12114 table on the next page.)

NOT - Notice of Intent

DEIS - Draft Environmental Impact Statement

FEIS - Final Environmental Impact Statement

ENVIRONMENTAL DOCUMENTATION PROCESS -- EXECUTIVE ORDER 12114

| DOCUMENT | PREPARED BY | ASSISTANCE/ CONCURRENCE BY | REVIEW/ ENDORSEMENT BY | APPROVAL/ SIGNATURE BY |
|---|--------------------|---|---|-----------------------------------|
| E. O. 12114 Negative Decision (Citing an OCATEX or exemption) NOTE: Action could take 1 week to 2 months. | PM or Designee | PEO/DRPM/SYSCOM Installation CO | | PM |
| Overseas Environmental Assessment ⁴ NOTE: Action could take 4 to 6 months. | PM or Designee | PEO/DRPM/SYSCOM Installation CO Counsel | CNO/CMC DRAFT, Review FINAL, Review ¹ Counsel, Review ASN (I&E), Endorse ⁵ | MDA, Approve |
| Overseas EIS NOTE: Action could take 12 to 18 months. | PM or Designee | CNO/CMC PEO/SYSCOM/DRPM Counsel | CNO/CMC, Endorse ASN(I&E), Endorse ⁶ | ASN(RD&A), Approve |
| Environmental Review(ER)/ Environmental Study (ES) NOTE: Action could take 12 to 18 months. | PM or Designee | CNO/CMC PEO/SYSCOM/DRPM Counsel | CNO/CMC, Review Counsel, Review ASN(I&E), Endorse ⁶ | ASN(RD&A), Approve |
| ER or ES Concluding No Significant Impact NOTE: Action could take 4 to 8 months. | PM or Designee | PEO/SYSCOM/DRPM Installation CO Counsel | CNO/CMC, Review ¹ Counsel, Review ASN(I&E), Endorse ⁷ | MDA, Approve |

FOOTNOTES

1. When a PEO/SYSCOM/DRPM has a clear knowledge of the requirements as demonstrated by the preparation of acceptable EAs and FONSI, the requirement for CNO/CMC review/endorsement shall cease. This decision will be made jointly by the PEO/SYSCOM/DRPM and CNO/CMC.
2. Upon request by MDA.
3. The PM is responsible for ensuring public notification of FONSI and RODs via appropriate medium. Where publication in the *Federal Register* is required, CNO/CMC will publish FONSI and RODs
4. The last page of the Overseas EA includes either (1) a negative decision that no significant harm will occur to the global commons, or (2) a conclusion that significant harm may occur to the global commons and an Overseas EIS must be prepared.
5. Upon request, when ASN(RD&A) is the MDA.
6. ASN(I&E) will coordinate with Department of State on actions (either unilateral or multilateral) affecting a foreign nation.
7. ASN(I&E) will endorse Negative Decisions for not preparing an ER or ES when ASN(RD&A) is the MDA.

4.3.7.3 System Safety and Health

Authorization for Navy and Marine Corps possession and use of radioactive material is granted by Radioactive Material Permits issued by the Navy Radiation Safety Committee. CNO may establish a System Safety Advisory Board(s). Policies of such a Board(s) are subject to review and approval by ASN(RD&A).

4.3.7.4 Hazardous Materials

See reference (b), paragraph 4.3.7.4, for guidance.

4.3.7.5 Pollution Prevention

See reference (b), paragraph 4.3.7.5, for guidance.

4.3.8 Human Systems Integration

See reference (b), paragraph 4.3.8, for guidance.

4.3.9 Interoperability

Reference (k) establishes Marine Corps management procedures to ensure compliance with both intraoperability and joint interoperability standards. See reference (b), paragraph 4.3.9, for further guidance.

4.4 Other Design Considerations

4.4.1 Survivability

PEOs, SYSCOM Commanders, DRPMs, and PMs shall use the technical resources of the Army Chemical and Biological Defense Command, where appropriate. See reference (b), paragraph 4.4.1, for further guidance.

4.4.2 Work Breakdown Structure

See reference (b), paragraph 4.4.2, for guidance.

4.4.3 DON Standardization Program

In accordance with references (l) and (m), existing or canceled military specifications and standards shall not be imposed in solicitations without a waiver authorized by the MDA. The Acquisition Strategy (AS), Acquisition Plan (AP), or separate memorandum may be used for this purpose. Canceled military specifications and standards may still be needed, on an exception basis, for new acquisitions or procurements.

Waivers to the use of military specifications and standards shall not be required when:

1. Reprocuring a system that is already in the inventory.
2. A contractor proposes the use of military specifications and standards not required by solicitation.

The Director, Naval Nuclear Propulsion shall determine the specifications and standards to be used for naval nuclear propulsion plants in accordance with Public Law 98-525 (Title 42, United States Code, Section 7185 Note).

An order of preference for selection of specifications and standards shall be included in each contract in accordance with reference (n).

All solicitations equal to or greater than \$100,000 shall contain language to encourage contractors to submit alternative solutions to specifications and standards. Contractors, with contracts exceeding \$500,000 which have substantial effort remaining, shall be encouraged to propose alternative solutions to specifications and standards.

Each new contract shall have language which states that all specifications and standards cited and first-tier references, shall be mandatory for use. The contract shall also state that lower tier references shall be used for guidance only and that specifications in drawings are considered first-tier references.

The DON Standards Improvement Executive (SIE) shall report to ASN(RD&A). The DON SIE shall direct implementation of the Defense Standards Improvement Program policies and procedures, assist in their development, and serve on the Defense Standards Improvement Council. The DON SIE and SYSCOM SIEs shall oversee the review of existing military specifications and standards to determine which will be processed for department-wide waivers. Such department-wide waivers shall be identified in ASS or APs.

PEOs, SYSCOM Commanders, and DRPMs shall submit quarterly reports to the DON SIE listing program-specific waivers granted, including specification/standard number, title, and date waived.

4.4.3.1 Single Process Initiative

For existing DON contracts, the procedures and responsibilities set forth below and in reference (e) shall apply.

4.4.3.1.1 Administrative Contracting Officers (ACO) in DoN Supervised Contract Administration Offices (CAO)

The ACO shall initially notify key DON customers when a contractor volunteers to participate in the single process initiative (key customers are notionally defined as those who represent 80% of the total dollar value of affected contracts at the contractor's facility). The Naval Nuclear Propulsion Program is hereby designated a key customer for all concept papers or proposals affecting contracts for components and systems used in Naval nuclear propulsion plan. The ACO shall obtain Naval Nuclear Propulsion Program concurrence for all proposed actions in those cases.

The ACO shall request from the DON Program Office most affected by the proposal and having the largest contract dollar value at the contractor's facility, that an individual be designated as the DON team leader. The DON team leader shall be appointed in writing by the Acquisition Reform Executive and shall be identified to all DON customers by the ACO.

In those cases where non-DoD departments or agencies have contracts administered by a CAO, ACOs shall not include non-DoD contracts in the single process initiative agreement without prior approval of the non-DoD department or agency. The CAO shall bring to the attention of non-DoD departments or agencies that single process initiative concepts or proposals have been submitted by the contractor for DoD contracts and encourage the cooperation and participation of the non-DoD department or agency.

4.4.3.1.2 System Command (SYSCOM) Commanders, Program Executive Officers (PEOs), Direct Reporting Program Managers (DRPMs)

The Program Office most affected by the proposal and having the largest contract dollar value shall nominate a senior member of the acquisition workforce as the DON team leader representing the DON customers on single process initiative issues at a specific contractor's facility. The Program Office shall obtain concurrence with the nomination of the DON team leader from the applicable SYSCOM Commander, PEO, or DRPM and shall coordinate with other key DON customers. The DON team leader nomination shall be submitted to the Acquisition Reform Executive for appointment in writing. Any non-concurrence with the nomination shall also be submitted to the Acquisition Reform Executive, with appropriate justification and recommendations for an alternative DON team leader.

SYSKOM Commanders, PEOs, DRPMs, shall provide subject matter experts or expert team members to review and make recommendations on the acceptability of the contractor's single process proposal.

Appointment of a DON team leader does not relieve Program Managers from accountability for ensuring single process initiatives do not adversely impact programs under their cognizance. Appeals by SYSKOM Commanders, PEOs, DRPMs, or Program Managers, concerning single process proposal decisions being considered by the DON team leader, shall be made to the Service Acquisition Executive via the Acquisition Reform Executive.

4.4.3.1.3 DON Team Leader

The DON team leader shall represent DON customers and have the authority to make decisions on all issues related to the review and approval of single process concepts and proposals submitted by a contractor for a specific facility. For any contractor concepts or proposals affecting components or systems used in Naval nuclear propulsion plants, Naval Nuclear Propulsion Program concurrence shall be obtained prior to approval of the concepts or proposals.

The DON team leader shall request assistance, as necessary, from subject matter experts or expert team members from the SYSKOM Commanders, PEOs, DRPMs, or Program Offices. These subject matter experts or expert team members shall review and provide comments and recommendations on the acceptability of the single process concept and proposal.

The DON team leader shall brief, solicit recommendations from, and achieve consensus with the other affected DoN Program Managers and buying activities on the acceptability of the single process concept and proposal. The DON team leader shall provide sufficient details of the concept and proposal to the affected DON Program Managers and buying activities to allow an assessment of the impact on their programs and deliverables. The DON team leader is also responsible for facilitating consensus with the other component team leaders.

When consensus cannot be reached on the acceptability of the contractor's single process proposal within DON Program Offices and buying activities, the DON team leader shall present the disputed aspects of the proposal to the Acquisition Reform Executive who shall facilitate a review and decision by the Service Acquisition Executive.

When consensus cannot be reached on the acceptability of the contractor's single process proposal with the other component team leaders, the DON team leader shall present the proposal to the Acquisition Reform Executive who shall facilitate a review and decision by the Service Acquisition Executive. The Service Acquisition Executive decision shall be the DON position when the proposal is presented for review and decision by the Defense Acquisition Executive designee.

4.4.3.1.4. Acquisition Reform Executive (ARE)

The ARE shall appoint the DON team leader in writing. Appointments shall designate the DON team leader as the authority responsible for concurrence for DON programs on single process block modification changes at a specific contractor facility.

When the nomination of the DON team leader is appealed by SYSCOM Commanders, PEOs, DRPMs, the ARE may consider the appointment of alternative DON team leaders, or even co-leaders in exceptional cases.

The ARE shall directly participate in the review and provide a recommendation for approval of single process proposals to the Service Acquisition Executive in the following cases:

1. When consensus cannot be reached at the DON level on the acceptability of the proposal.
2. When consensus cannot be reached at the DoD level on the acceptability of the proposal.

4.4.3.1.5 Service Acquisition Executive (SAE)

The SAE shall directly participate in the review and approval of single process proposals in the following cases:

1. When consensus cannot be reached at the DON level on the acceptability of the proposal.
2. When consensus cannot be reached at the DoD level on the acceptability of the proposal.

4.4.4 Metric System

The Commander, Naval Sea Systems Command is responsible for administration of DON participation in the DoD Metrication Program. See reference (b), paragraph 4.4.4, for further guidance.

4.4.5 Program Protection and Information Systems Security

See reference (b), paragraph 4.4.5, for guidance.

4.4.6 Electromagnetic Environmental Effects (E³) and Spectrum Management

Reference (o) provides additional implementation guidance regarding frequency spectrum management.

Reference (p) provides additional implementation guidance regarding electromagnetic compatibility.

CNO (N6) is designated the DON executive for electromagnetic compatibility.

See reference (b), paragraph 4.4.6, for further guidance.

4.4.7 Unplanned Stimuli

See reference (b), paragraph 4.4.7, for guidance.

4.4.8 Value Engineering

See reference (b), paragraph 4.4.8, for guidance.

4.4.9 Mapping, Charting, and Geodesy (MC&G) Support

Guidance for identification and funding of unique MC&G products required by a system under development is found in reference (q).

All DON MC&G support requirements will be coordinated with CNO/CMC, as appropriate.

4.4.10 Precise Time and Time Interval (PTTI) Support

The Superintendent of the U. S. Naval Observatory is designated as the DoD and DON PTTI Manager and shall maintain standard astrophysical products.

4.4.11 National Environmental Support

In accordance with reference (r), CNO is responsible for coordinating and implementing operational oceanographic and astrophysical support requirements for all DoD users. PMs shall task CNO (N096) for Meteorology and Oceanography (METOC); Mapping, Charting, and Geodesy (MC&G); PTTI; and astrometry support as early as possible in the development cycle to ensure timely availability of products and services.

4.4.12 Government-Industry Data Exchange Program (GIDEP)

Reference (s) provides specific Navy requirements and procedures for participation in the GIDEP program.

The Commander, Naval Sea Systems Command, is responsible for coordinating, programming, and executing the Government-Industry Data Exchange Program (GIDEP) for DON.

Part 5

Program Assessments and Decision Reviews

- Reference:
- (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96
 - (b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96
 - (c) SECNAVINST 5420.188D, "Program Decision Process," 31 Oct 95
 - (d) OPNAVINST 5420.2Q, "Resources and Requirements Review Board," 26 Jan 93
 - (e) SECNAVINST 3070.1. "Operations Security," 9 Aug 84
 - (f) SECNAVINST 5400.15A, "DON Research, Development and Acquisition Responsibilities," 26 May 95

5.1 Purpose

This part establishes mandatory policies and procedures for conducting milestone decision reviews of Acquisition Category (ACAT) IC, IAC, II, III, and IV programs. See references (a) and (b) for further guidance.

5.2 Defense Acquisition Board/Department of the Navy (DON) Program Decision Process

1. The only DON-level decision briefing shall be the Program Decision Meeting (PDM), as prescribed in reference (c). ACAT ID and IAM programs shall be reviewed by a PDM prior to presentation at an Office of the Secretary of Defense (OSD)-level decision meeting. See reference (b), Part 5, for further guidance for ACAT ID and IAM programs.
2. Program Executive Officers (PEOs), Systems Command (SYSCOM) Commanders, and Direct Reporting Program Managers (DRPMs) shall provide for an acquisition program briefing (at an Acquisition Review Board (ARB)) to prepare for the PDM, and shall issue schedules at least monthly for these briefings. Meeting membership and attendance is controlled by the PEO/SYSCOM/DRPM. Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)), Chief of Naval Operations (CNO), Commandant of the Marine Corps (CMC) staff, and other personnel with a need to know shall attend these briefings in lieu of individual briefings by Program Offices. For programs

where ASN(RD&A) is not the Milestone Decision Authority (MDA), the ARB will normally constitute the PDM, as provided for in reference (c).

3. The Resources and Requirements Review Board (R3B) shall be used, when necessary, to resolve major program issues at the Office of the Chief of Naval Operations (OPNAV) level prior to review at PDMs or special program reviews. R3B membership and procedures are contained in reference (d). The Ship Characteristics Improvement Panel (SCIP) and the Air Characteristics Improvement Panel (ACIP), as special panels of the R3B, shall provide coordination for ships and aircraft, related systems, and air launched weapons matters. SCIP/ACIP membership and procedures are contained in reference (d).
4. The Planning Guidance Board, with members representing CNO (N2), CNO (N3/5), and CNO (N8), shall provide Operations Security (OPSEC) and OPSEC enhancement planning guidance during Mission Need Statement (MNS) review. A sub-panel, the Composite Planning Group, shall coordinate guidance preparation and shall assist the Program Manager's (PMs) staff in subsequent OPSEC and program protection planning. Detailed policy, procedures, and membership for this board and group are found in reference (e).
5. In accordance with reference (f) for the Navy and Marine Corps, CNO (N4) and CMC (DC/S (I&L)) are responsible for ensuring that ILS assessments are performed prior to each milestone.

5.3 Major Automated Information Systems Review Council

ACAT IAM programs are governed by reference (b). DON IR programs follow procedures in paragraph 5.2 above.

5.4 Integrated Product Teams (IPTs)/Acquisition Coordination Teams (ACTs) in the Oversight and Review Process

Reference (c) provides policy on the use of ACTs, their functions, and membership. The PM shall structure, tailor, and lead IPTs, as needed, to resolve issues and provide assessments at the lowest level. See reference (b), paragraph 5.4, for further guidance.

5.5 Joint Requirements Oversight Council (JROC) Review Procedures

See this instruction, enclosure (7), Appendix II, Annex E, for Navy and Marine Corps JROC procedures for ACAT I programs. See reference (b), paragraph 5.5, for further guidance.

5.6 OSD Cost Analysis Improvement Group (CAIG) Procedures

Reference (b) requires ACAT ID and IC program life-cycle cost estimates to be documented and briefed to the CAIG. The results of the CAIG review shall be forwarded to the Navy Acquisition Executive, ASN(RD&A). See reference (b), paragraph 5.6, for further guidance.

5.7 Other Boards and Councils

See reference (b), paragraph 5,7, for guidance.

5.8 Program Information

See the following table for ACAT I, II, III, and IV program mandatory milestone information. Milestone information shall be presented in mandatory formats where required by reference (b) and this instruction. All other mandatory milestone information may be presented in a format that is the MDA's option. See reference (b), Part 5, paragraph 5.8, and this instruction, enclosure (1), paragraph 1.4, for further guidance on "tailoring-in" program information content.

| Mandatory Milestone Information | | | | | | |
|---|-------------------|--------------------------------|-----------------|--|--------------------------|---|
| Milestone Information | Statutory | Presentation Medium | ACAT | Applicability | Prepared By | Approved By |
| Mission Need Statement | | Mandatory Format | I, II, III, IV | Milestone 0 | Program Sponsor | JROC (ACAT I) CNO/CMC |
| Operational Requirements Document ^{2/} | | Mandatory Format | I, II, III, IV | Milestone I and sub ^{2/} | Program Sponsor | CNO/CMC JROC validates (ACAT I) |
| Acquisition Program Baseline | YES ^{3/} | Mandatory Format | I, II, III, IV | Milestone I and sub | PM | MDA |
| Test and Evaluation Master Plan ^{5/} | YES ^{4/} | Mandatory Format ^{4/} | I, II, III, IV | Milestone I and sub | PM OPTEVFOR MCOTEA | CNO/CMC MDA DTSE&E ^{4/} DOT&E ^{4/} |
| Environmental, Safety, & Health Analysis | YES | MDA option | I, II, III, IV | Milestone I and sub | PM | MDA |
| Industrial Capability Assessment * | YES | MDA option | I | Milestone I and sub | PM | MDA |
| Cooperative Opportunities Assessment * | YES | MDA option | I | Milestone I and sub | ASD(ES) | MDA |
| Independent Cost Est * | YES | MDA option | I | Milestone I and sub | CAIG | MDA |
| Manpower Estimate * | YES | Optional | I | Milestones II and III | CNO/CMC | CNO/CMC |
| LFT&E Waiver Cert * | YES ^{6/} | MDA option | I, II | Prior to Milestone II | PM | MDA |
| LFT&E Report * | YES ^{6/} | Optional | I, II | Milestone III | DOT&E | DOT&E |
| LRIP Report for Ships & Satellites * | YES | MDA option | I, II | Milestone II | PM | MDA |
| OT&E Report | YES | Optional | I, II, III, IVT | As determined in TEMP | OPTEVFOR MCOTEA | OPTEVFOR MCOTEA |
| Beyond LRIP Report | YES ^{4/} | Optional | I, II, III, IV | Milestone III | DOT&E | DOT&E |
| Threat Assessment | | Optional | I, II, III, IV | Milestone 0 and sub | Intell Activity | DIA (ACAT I) Intell Activity |
| Analysis of Alternatives | | MDA option | I, II, III, IV | Milestone I and sub | Indep Activity | MDA/CNO/CMC |
| Acquisition Strategy | | MDA option | I, II, III, IV | Milestone I and prior to subsequent milestones | PM | MDA |
| Risk Assessment | | MDA option | I, II, III, IV | Milestone I and sub | PM | MDA |
| Pgm Life-Cycle Cost Est | | MDA option | I, II, III, IV | Milestone I and sub | PM | PM |
| DT&E Report | | Optional | I, II, III, IV | As determined in TEMP | DT&E Activity | DT&E Activity |
| Acquisition Decision Memorandum | | MDA option | I, II, III, IV | All milestones/ and as determined by MDA | PM | MDA |
| All other documentation | | MDA option | | As required by MDA | | |

* Not applicable for ACAT IA programs.

1/ An umbrella warfare [or functional] MNS may satisfy MNS requirement for Milestone 0 for potential ACAT II, III, and IV programs.

2/ A new, or revised, ORD is not required for subsequent milestones if still current, but ORD must be revalidated by JROC (ACAT I) and CNO or CMC, as appropriate, for subsequent milestones.

3/ Statutory for ACAT I programs.

4/ Statutory for ACAT I programs and those ACAT II, III, and IV programs designated by OSD Director, Operational Test & Evaluation (DOT&E) for oversight.

5/ Not mandatory for ship programs not requiring OT&E; TEMP may be tailored as appropriate for ACAT IVM programs.

6/ Statutory for those ACAT I and II programs involving covered major systems, major munitions and missiles and product improvements thereto (which could be separate ACAT III or IV programs).

Part 6

Periodic Reporting

Reference: (a) DoD Directive 5000.1, "Defense Acquisition,"
15 Mar 96
(b) DoD Regulation 5000.2-R, "Mandatory Procedures
for Major Defense Acquisition Programs (MDAPs)
and Major Automated Information System (MAIS)
Acquisition Programs," 15 Mar 96

6.1. Purpose

Periodic reports are those reports provided to the Milestone Decision Authority (MDA) as phase documents, not milestone documents. They serve to inform the MDA as to cost, schedule and technical performance status. See references (a) and (b) for further guidance.

6.2 Cost, Schedule and Performance Program Reports

Decision makers in the acquisition chain-of-command can effectively oversee and review a program only when they are informed of emerging problems. Mandatory policies for reporting in-phase status for Acquisition Category (ACAT) IC, II, III and IV programs follow.

6.2.1 Acquisition Program Baseline (APB) Reporting

All programs shall have baselines in accordance with this instruction, enclosure (3), paragraph 3.2.1.

6.2.1.1 Program Deviations

A program deviation occurs when the Program Manager (PM) has reason to believe that the current estimate of an APB cost, performance or schedule parameter will breach the threshold value for that parameter. When this occurs, the PM shall immediately notify the MDA and the ACT for ACAT IC and II programs or similar forum for ACAT III and IV programs. If not provided at this initial MDA notification, within 30 days of the program deviation, the PM shall notify the MDA of the reason for the deviation and the action(s) being taken to bring the program back within the approved baseline thresholds. Within 90 days of the program deviation the program shall:

- a. be back within APB thresholds, or

b. submit a new APB, changing only the breached parameter and those directly affected by the breached parameter, or

c. provide a date by which the new APB will be submitted or by which the program will be back within original APB thresholds.

The PM shall also keep Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) informed with regard to program deviations and baseline recovery actions. APB processing is described in reference (b), Part 3 and in this instruction, enclosure (3), and enclosure (7), Appendix II, Annex D.

6.2.2 Defense Acquisition Executive Summary (DAES)

Reference (b), Part 6, paragraph 6.2.2, contains ACAT I DAES reporting requirements, in the Consolidated Acquisition Reporting System (CARS) format. This report is not normally required for ACAT IA programs. See paragraph 6.2.3 of this instruction for reporting on ACAT IA programs.

6.2.2.1 DAES Reportable Designations

Under Secretary of Defense (Acquisition and Technology) (USD(A&T)) assigns DAES reporting responsibility. All ACAT I programs (and selected ACAT II, III and IV programs) are assigned a designated reporting month by USD(A&T) to begin their quarterly DAES reports. Without exception, DAES reports shall be submitted to USD(A&T) by the last working day of the program's designated reporting month. To meet this deadline and to allow adequate time for Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) and Department of the Navy (DON) Comptroller review, DAES reports shall be submitted to ASN(RD&A) no later than the 15th day of the program's designated quarterly reporting month. Four copies plus one computer disk in CARS format shall be provided for each submission.

6.2.2.2 Out-of-Cycle DAES Reports

See reference (b), Part 6, paragraph 6.2.2.2, for guidance.

6.2.2.3 Consistency of Information with Other Documents and/or Reports

See reference (b), Part 6, paragraph 6.2.2.3, for guidance.

6.2.3 Major Automated Information System Quarterly Report

Major Automated Information System (MAIS) quarterly reports shall be submitted to Naval Information System Management Center (NISMC), by the 15th of the month after the end of each quarter. NISMC will forward MAIS quarterly reports to OSD. See reference (b), Part 6, paragraph 6.2.3, for guidance.

6.2.4 Selected Acquisition Reports (SARs)

SAR preparation guidance is provided in reference (b), Part 6, paragraph 6.2.4. To meet USD(A&T) submission deadlines and to allow adequate time for ASN(RD&A) and DON Comptroller review, annual SAR reports shall be submitted to ASN(RD&A) no later than the 15th day after the President sends the budget to Congress. Quarterly SARs shall be submitted no later than the 15th day after the end of the reporting period. Thirty-three copies plus one computer disk in the CARS format shall be provided for each annual SAR. Twenty copies plus one computer disk in the CARS format shall be provided for each quarterly SAR. Final SAR content shall be as specified by USD(A&T) and ASN(RD&A). Classified annual SARs and quarterly SARs shall be handled as Working Papers until approved and published by USD(A&T).

6.2.5 Unit Cost Reports

Unit Cost Reports (UCRs) apply to all SAR reporting programs. See reference (b), Part 6, paragraph 6.2.5, for guidance.

6.2.5.1 Unit Cost Content and Submission

See reference (b), paragraph 6.2.5.1, for guidance.

6.2.5.2 UCR Breaches

Notification of unit cost threshold breaches shall be made immediately, via the chain of command, to ASN(RD&A).

Contract Cost Baselines (CCBs) are the basis for determining contract breaches that must be reported in the DAES. They shall be maintained on all major contracts for all SAR reporting programs, except that CCBs shall not be required for "RDT&E-only" programs.

6.2.6 Annual T&E Oversight List

The DOT&E annual oversight list identifies those DON programs subject to DOT&E oversight.

6.2.7 Assessing Program Performance for ACAT II, III, and IV Programs

Based on a review of the APBs of all ACAT II, III, and IV programs, the MDA shall determine, at the end of each fiscal year, and for each program separately, if, as of the last day of the fiscal year, ten percent or less of the aggregate number of APB cost, schedule and performance thresholds for that program are in a breach status. The MDA shall also assess whether the average period for converting emerging technology to operational capability has decreased by 50 percent or more from the average period required for such conversion as of October 13, 1994. A summary of these determinations and assessments shall be provided to ASN(RD&A) by 15 October of each year. ASN(RD&A) will provide the DON assessment to Director, Acquisition Program Integration (API) of the Office of the Under Secretary of Defense (Acquisition and Technology) (OUSD(A&T)) by 1 November of each year as required by reference (b), Part 6, paragraph 6.2.7. As of October 13, 1994, the average period between program initiation and IOC was 115 months. The number was derived from various commodities (aircraft, C³I systems, missiles, rockets, satellites, ships, tracked vehicles, and wheeled vehicles).

If the ASN(RD&A) finds that more than 10 percent of the aggregate number of APB cost, schedule, and performance thresholds for ACAT II, III, and IV programs are in a breach status, the appropriate Deputy Assistant Secretary of the Navy (DASN) (Research, Development and Acquisition) (RD&A) or their representative, shall conduct a timely review of the affected programs. In conducting the review, the DASN, user's representative and the Acquisition Coordination Team (ACT) leader (if existing) shall determine whether there is a continuing need for the programs that are sufficiently behind schedule, overbudget, or not in compliance with performance requirements, and shall recommend to the MDA suitable actions to be taken, including termination.

6.3 Test and Evaluation Reports

This section describes mandatory Test and Evaluation (T&E) reporting requirements for ACAT IC, II, III and IV programs.

6.3.1 DoD Component (DON) Reporting of Test Results

See reference (b), paragraph 6.3.1, for guidance.

6.3.1.1 Navy Developmental Test and Evaluation (DT&E) Reports

Programs subject to Office of the Secretary of Defense (OSD) T&E oversight shall provide copies of formal DT&E reports to Director, Test, Systems Engineering and Evaluation (TSE&E) (OUSD(A&T)) by the Developing Activity (DA) at least 45 days prior to milestone decision meetings. Copies of DT&E reports for

all ACAT I programs, except those containing vulnerabilities and limitations data for key war-fighting systems, shall be provided to the Defense Technical Information Center (DTIC) with the Report Documentation Page (SF 298). For significant major acquisition program T&E events, as defined in the Test and Evaluation Master Plan (TEMP), copies of Navy internal event reports shall be forwarded via CNO (N091) to Director, TSE&E (OUSD(A&T)).

6.3.1.2 Navy Operational Test and Evaluation (OT&E) Reports

Commander, Operational Test and Evaluation Forces (COMOPTEVFOR) shall issue operational test reports within 90 days following completion of testing. This period shall be extended to 120 days when a "Quicklook" report is approved. Programs subject to OSD T&E oversight shall provide copies of formal OT&E reports to DOT&E at least 45 days prior to milestone decision meetings. Copies of OT&E reports for all ACAT I programs, except those which contain vulnerabilities and limitations data for key war-fighting systems, shall be provided to the Defense Technical Information Center (DTIC) with the Report Documentation Page (SF 298). For significant major acquisition program T&E events, as defined in the TEMP, copies of Navy internal event reports shall be forwarded via CNO (N091) to DOT&E.

6.3.1.2.1 Anomaly Reports

An anomaly report shall be originated by COMOPTEVFOR when minor failures or anomalies are discovered during operational testing that impact testing, but are not so severe that testing should be stopped. COMOPTEVFOR shall report applicable data relating only to this anomaly. The anomaly report shall be addressed to CNO (N091), the Developing Activity (DA), and the Program Sponsor.

6.3.1.2.2 Deficiency Reports

A deficiency report is originated by COMOPTEVFOR when it becomes apparent that the system under OT&E will not achieve program objectives for operational effectiveness and suitability, is unsafe to operate, is wasting services, or test methods are not as effective as planned. COMOPTEVFOR shall stop the test and transmit a deficiency report to CNO (N091), the DA, and the applicable Program Sponsor providing all deficiency test data to the DA for corrective action. The information shall include the configuration of the system at the time the test was suspended, what specific test section was being conducted, observed limitations that generated the deficiency status, and any observations that could lead to identification of causes and subsequent corrective action. The program shall be recertified

for OT&E in accordance with this instruction, enclosure (3), paragraph 3.4.3.3. A recertification message is required , prior to restart of testing, addressing the topics listed in this instruction, enclosure (7), Appendix III.

6.3.1.2.3 Quicklook Operational Test and Evaluation Reports

A Quicklook report may be requested when the normal OT&E report period will adversely affect the program. Quicklook report conclusions may not agree with those in the full OT&E report due to limited data analysis.

Quicklook OT&E reports are authorized by CNO (N091) and shall be requested in the message certifying readiness for operational testing (see this instruction, enclosure (3), paragraph 3.4.2.3). Quicklook reports shall be issued within 30 days following completion of testing and they shall not be used to support a full-rate production decision.

6.3.1.3 Marine Corps Operational Test Reports (TRs)

After Operational Testing (OT), the Fleet Marine Force (FMF) shall write the Test Director (TD) report. The TR shall address the collection, organization, and processing of information derived from the operational test and is a key source of information from which the Initial Evaluation Report (IER) is written. The report also documents the TD's overall impressions regarding system performance. The TR shall be forwarded via the appropriate Marine Force (MARFOR), to arrive at Marine Corps Operational Test and Evaluation Activity (MCOTEA) no more than 30 days after the end of the test. The PM does not have a role in the developing or reviewing the TR.

An IER is written to report the results of both Initial Operational Test and Evaluation (IOT&E) and Follow-on Operational Test and Evaluation (FOT&E). The IER shall be completed no more than 120 days following the end of testing. Once signed by the Director, MCOTEA, it shall be forwarded to CMC via Assistant Commandant of the Marine Corps (ACMC), and it shall not be released until the ACMC approves it for distribution. Once approved, MCOTEA shall distribute it to the MDA, PM, FMF, and others concerned. Release of the observed test results prior to completion of analysis is as deemed appropriate by the Director, MCOTEA.

The results of Early Operational Assessments (EOAs) and Operational Assessments (OAs) shall be reported directly to the PM. The time and format for these assessment reports shall be determined by MCOTEA and the PM.

6.3.1.3.1 Anomaly Reports

Anomaly reports shall be provided by MCOTEA when minor failures or anomalies are discovered during operational testing that impact testing but are not so severe that testing should be stopped. The report shall be provided to the PM/DA for problem resolution but it does not authorize the PM/DA to make changes in the system being tested.

6.3.1.3.2 Deficiency Reports

A deficiency report shall be provided when it becomes apparent during OT&E that the system under test will fall significantly short of requirements for operational effectiveness and suitability, is unsafe to operate, is wasting services, or has test methods not as effective as planned. The Deficiency Report shall specify the nature of the deficiencies identified. Testing shall be terminated until the deficiencies are corrected. The determination to resume testing shall be made by the Director, MCOTEA, after an abbreviated or full Operational Test Readiness Review (OTRR) is held in order to revalidate readiness for testing (see this instruction, paragraph 3.4.2.4).

6.3.2 Live Fire Test and Evaluation (LFT&E) Report

For ACAT I or II programs involving covered major systems, major munitions, or missiles, or product improvements thereto, the DA shall prepare a report of LFT&E to be submitted to DOT&E, via CNO (N091), in time to allow OSD 45 days to prepare an independent report and submit it to Congress prior to the program proceeding beyond Low-Rate Initial Production (LRIP). Waivers to this reporting requirement shall be submitted by the MDA to DOT&E prior to Milestone II. Waivers shall be coordinated with the Program Sponsor and CNO (N091). PMs shall keep CNO(N091) appraised of LFT&E program progress and execution. See reference (b), paragraph 6.3.2, for further guidance.

6.3.3 Beyond Low-Rate Initial Production Report

ACAT I programs, or ACAT II, III and IV programs that are designated DOT&E oversight programs, shall not proceed beyond LRIP until the DOT&E has submitted a written report to the Secretary of Defense and the Congress as required by 10 USC 2399. See reference (b), Part 6, paragraph 6.3.3, for the beyond LRIP report content for designated DOT&E oversight programs.

6.3.4 Foreign Comparative Test Notifications and Reports to Congress

The DTSE&E must notify Congress a minimum of 30 days prior to the commitment of funds for initiation of new Foreign

Comparative Test evaluations. See reference (b), Part 6, paragraph 6.3.4, for further guidance.

6.3.5 Electronic Warfare (EW) Test and Evaluation Reports

See reference (b), Part 6, paragraph 6.3.5, for guidance.

6.3.6 Annual Operational Test and Evaluation Reports

See reference (b), Part 6, paragraph 6.3.6, for guidance.

6.4 Contract Management Reports

The reports prescribed in this section shall be used for all applicable defense contracts as they aid in effective resource management. Use of electronic data interchange shall be required provided that such media are suitable for management use. The Work Breakdown Structure (WBS) used in preparing reports covered by this section shall conform to the standard DoD WBS (see reference (b), Part 4 and this instruction, enclosure (4), Part 4).

6.4.1 Contractor Cost Data Reporting (CCDR)

1. The Director, NCCA shall concur in, or provide comment on, all ACAT I CCDR plans. When DON provides the Independent Cost Estimate (ICE) for an ACAT IC program, the CCDR plan for that program shall also be provided to the Director, NCCA for approval. For ACAT II programs, the CCDR plans shall be provided as part of the ACT process to the Director NCCA for approval.
2. Copies of all CCDRs shall be provided to NCCA. See reference (b), Part 6, paragraph 6.4.1, for further guidance on CCDR preparation.

6.4.2 Cost Performance Report (CPR)

PMS shall use the following guidelines in developing CPR reporting requirements:

1. Tailor CPR requirements with the objective of minimizing reporting requirements while satisfying management needs for a specific contract.
2. Except for high-cost or high-risk elements, the normal level of reporting detail shall be limited to level 3 of the contract WBS.
3. Functional reporting in format 2 of the CPR shall only be requested if it provides useful data for managing

the program. If the contractor and government are using IPTs, format 2 of the CPR shall be tailored to reflect that structure.

4. Variance analysis reporting in format 5 of the CPR shall be on an exception basis as identified by either the government or contractor. Variance analysis reporting shall be closely linked to risk analysis for identification of cost drivers.
5. Copies of all CPRs shall be provided to NCCA.

See reference (b), Part 6, paragraph 6.4.2, for additional guidance on CPR preparation.

6.4.3 Cost/Schedule Status Report (C/SSR)

See reference (b), Part 6, paragraph 6.4.3, for C/SSR reporting requirements.

6.4.4 Contract Funds Status Report (CFSR)

See reference (b), Part 6, paragraph 6.4.4, for CFSR reporting requirements.

Part 7
Appendices

Appendices

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| ** | Normally not applicable to ACAT IA programs |
| *** | Not applicable to ACAT I programs |

Appendix I

Consolidated Acquisition Reporting System

Annex A -- Acquisition Program Baseline
Annex B -- Selected Acquisition Reports
Annex C -- Defense Acquisition Executive Summary

See DoD Regulation 5000.2-R, Appendix I, for guidance.

Annex A - Acquisition Program Baseline

See DoD Regulation 5000.2-R, Appendix I, for guidance.

Annex B - Selected Acquisition Reports

See DoD Regulation 5000.2-R, Appendix I, for guidance.

Annex C - Defense Acquisition Executive Summary

1. Procedures

1.1 Unit Cost Threshold Breach Notifications

Program Managers shall immediately submit a Unit Cost Threshold Breach Notification via the chain of command to ASN(RD&A), whenever the Program Manager (PM) has reasonable cause to believe that a breach has occurred.

Notifications shall include a cover memorandum explaining the breach and applicable portions of Defense Acquisition Executive Summary (DAES) sections 6 and 7.

Ensure that Unit Cost Threshold Breach Notifications and Section 6 of DAES reports reflect the appropriate Unit Cost Report (UCR) Baseline. (Note that UCR Baseline measuring points change on 1 October each year.)

For unit cost breaches of 25 percent, Program Managers shall submit the Secretary of Defense (SECDEF) Certification Questions (Unit Cost Reporting Certification Questions) via the acquisition chain of command to ASN(RD&A) at the same time the Breach SAR is provided via the acquisition chain of command to ASN(RD&A). Questions shall be addressed directly and completely, regardless of the cause of breach.

1.2 Contract Cost Baselines (CCBs) And UCR Breach Notifications

The CCBs are the basis for determining contract breaches that shall be reported in the DAES.

CCB Requirement/Applicability

The requirement for CCBs is established in 10 U.S.C. 2433, which states that Contract Cost Baselines shall be established and maintained for all major contracts (including firm-fixed price). The requirement applies to Selected Acquisition Report (SAR) programs and major contracts. Contract Cost Baselines are not required for "RDT&E-only" SAR programs.

Contract Cost Baseline Format

Program Managers shall establish Contract Cost Baselines for applicable contracts, including updates for contract additions and deletions. The Baseline shall be retained by the program office and shall contain the following information.

DATE _____

CONTRACT COST BASELINES

PROGRAM NAME _____

CONTRACT #1

CONTRACT NAME
CONTRACTOR (NAME & LOCATION)
CONTRACT NUMBER AND TYPE
BASELINE DATE
BASELINE AMOUNT (\$ in millions)

CONTRACT #2 ETC

Appendix II

ASN(RD&A)/CNO/CMC^{1/} Coordination Procedures for:

- Annex A -- Mission Need Statements
- Annex B -- Analysis of Alternatives
- Annex C -- Operational Requirements Documents
- Annex D -- Acquisition Program Baselines (APBs)/APB Deviation
Reporting
- Annex E -- JROC Interface
- Annex F -- IR Programs
- Annex G -- Non-Acquisition Programs
- Annex H -- ACAT Designation Request Memorandum Formats

SECNAVINST 5000.2B

^{1/} Where indicated

ANNEX A - MISSION NEED STATEMENTS (MNSs)

- References:
- (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96
 - (b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96
 - (c) Chairman of the Joint Chiefs of Staff Memorandum of Policy No. 77, "Requirements Generation System Policies and Procedures," 17 Sep 92
 - (d) Chairman of the Joint Chiefs of Staff Instruction 6212.01, "Compatibility, Interoperability, and Integration of Command, Communications, Computers, and Intelligence Systems," 30 Jul 93

1. Procedures**1.1 OPNAV Preparation, Review, and Submission Procedures**

1. OPNAV MNS signature cover page formats are included on the following pages.
2. OPNAV MNS processing procedures are included on the pages following the cover page formats. Marine Corps MNSs are processed in accordance with this instruction, enclosure (7), Appendix II, page II-7, paragraph 6.
3. The OPNAV MNS process flow diagram for all potential ACATs is shown in Appendix II, page II-10.

MISSION NEED STATEMENT (FORMAT)

MISSION NEED STATEMENT

FOR

TITLE OF OPERATIONAL CAPABILITY NEED

See reference (c), Chairman of the Joint Chiefs of Staff Memorandum of Policy No. 77, "Requirements Generation System Policies and Procedures," 17 Sep 92, for mandatory Mission Need Statement format.

OPNAV MISSION NEED STATEMENT (MNS) PROCEDURES

1. Step 1 MNS Preparation. The Program Sponsor shall:
 - a. Administer/track mission need proposal processing.
 - b. Determine if any Non-Materiel alternatives exist.
 - c. Prepare draft Mission Need Statement. (Note 1, 2)
 - d. Assign sponsor's priority. (Note 3)
 - e. Coordinate with the Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) staff to determine the potential ACAT.
 - f. Coordinate with CNO (N810) before routing to ensure appropriate OPNAV codes are identified and that the document meets basic compliance with **reference (b)**. Use Initial Draft Review signature page for routing (see Appendix II, page II-11). (Note 4)

Step 1 NOTES:

- (1) FLTCINCs shall send proposed MNS to CNO (N83), who shall forward it to CNO (N81) for identification of the appropriate OPNAV Program Sponsor. Program Sponsor shall act as the FLTCINC's representative to staff the document through both OPNAV and JCS. Once the Program Sponsor accepts sponsorship of the document, it follows these OPNAV MNS procedures.
- (2) Draft MNSs for applicable USMC programs (see **paragraph 6, Step 6** are forwarded from MCCDC.
- (3) Program Sponsor Priority ranking categories:
 - (a) "1" Essential capability absolutely necessary for the success of (joint) operations. Includes programs which are mandated by regulations or necessary for the safe operation of (joint) forces (i.e., a cost of doing business).
 - (b) "2" Critical program to ensure that (joint) combat effectiveness is not jeopardized. Loss of capability would result in a severe risk to (joint) forces in carrying out a mission.
 - (c) "3" Important program to (joint) combat effectiveness. Precludes serious risk in one or more (joint) mission areas. Lost capability could result in increased losses or extended timeliness but would not jeopardize overall (joint) mission.
 - (d) "4" Valid warfighting capability that provides marginal contribution to (joint) combat effectiveness. Loss may result in some risk to (joint) operations. May be duplicative with another service(s) capability.
 - (e) "5" Excess capability. Could be replaced by another intra/inter-service program with minimum impact on (joint) combat effectiveness.
- (4) A MNS requires a statement on "standardization or interoperability within the North Atlantic Treaty Organization (NATO) or with other allies or DoD Components" when it impacts satisfying the mission need. A statement addressing these issues shall be made. If interoperability is not a requirement in terms of satisfying a mission need or deficiency, so state.

2. Step 2 Initial Review
 - a. The Program Sponsor shall:

- (1) Distribute draft MNS concurrently to CNO (N1), CNO (N2), CNO (N3/5), CNO (N4), CNO (N6), CNO (N81), CNO (N83) (for Unified or Specified Commander in Chief (CINC)/Fleet Commander in Chief (FLTCINC) review), CNO (N091), CNO (N096). [Note 1]
 - (2) Forward copy of draft MNS to ASN(RD&A) and cognizant SYSCOM/PEO/DRPMs for information.
- b. CNO (N81) shall:
- (1) Enter the draft MNS into the requirements document library data base. [CNO (N810)]
 - (2) Forward the MNS:
 - (a) For ACAT I programs, to the JROC Secretariat for CINCs and the Joint Staff for an O-6 level detailed review, other Services O-6 level review and Joint Potential Designation (JPD) assessment, and, in the case of C4I systems, to JCS (J-6I) for interoperability certification. [Notes 2, 3 and 4]
 - (b) For all programs, to the other Services for JPD.
 - (3) For ACAT I programs, receive O-6 level comments from Joint Staff (normally 60-day turn around); return to sponsor.
 - (4) For ACAT II, III, and IV programs, receive JPD assessment comments from other Services (normally 30-day turn around); return to sponsor.

| Step 2 NOTES: |
|--|
| (1) The Program Sponsor may have to repeat the Initial Review if the revisions are substantial. |
| (2) All MNSs, regardless of ACAT shall be routed to the Services for Joint Potential Designation (JPD) determination, and in the case of C4I MNS for interoperability certification by JCS J-6. (See references (c) and (d) for details.) ACAT I MNSs shall be routed to JROC Secretariat for review and comment. |
| (3) CNO (N81) initial review shall be required before the MNS is forwarded to JROC Secretariat. |
| (4) CNO (N81) also staffs other Service's MNSs for JPD assessment and C 4I review by the OPNAV staff. Appropriate codes shall include CNO (N51, N6, N83, N091), and others as topics relate. |

3. Step 3 MNS Revision. The Program Sponsor shall:

- a. Receive comments from OPNAV codes.
- b. Receive other Service JPD comments and joint staff review comments.

- c. Consolidate comments. For Navy programs, correct document as required. For USMC programs, forward OPNAV comments to MCCDC, as applicable.
- d. For Navy ACAT I programs:
 - (1) Forward revised MNS to CNO (N81) for staffing and to JROC secretariat for O-7/8 review. Wait for response comments before proceeding, in order to incorporate recommended changes (normally 30-day turn around).
 - (2) Consolidate and revise MNS as required.
- e. Prepare smooth MNS with Final Flag-level Endorsement signature page for endorsement (see Appendix II, page II-12).
- f. Coordinate with the Head, Program Planning and Development Branch (CNO (N801)) for a Resources and Requirements Review Board (R³B), if required. [Note 1]
- g. For Navy ACAT I programs, coordinate with CNO (N810) for JROC schedule and briefing following O-7/8 review. [Notes 2]
- h. Provide CNO (N810) with an advance copy of the smooth MNS prior to further staffing.
- i. Forward revised MNS to applicable OPNAV codes for Flag Level endorsement: CNO (N091, N096 (Meteorology, Oceanography, Hydrography, Astrometry, and Precise Time/Time Interval only), N1, N2, N3/5, N4, N6 (SEW and C⁴I only), and N83 (CINC/FLTCINC endorsement)).

| |
|---|
| Step 3 NOTES: |
| (1) A R ³ B may be required before the MNS is endorsed and approved (see Note 2 under Step 7). |
| (2) <i>The Program Sponsor shall coordinate with CNO (N810) in preparing and scheduling the JROC brief. CNO (N810) is designated as the Navy Point of Contact to the JROC and assists the Program Sponsor with joint review of the MNS.</i> |

4. Step 4 Flag-level Endorsement. Applicable OPNAV Codes (CNO (N091, N096 (Meteorology, Oceanography, Hydrography, Astrometry, and Precise Time/Time Interval only), N1, N2, N3/5, N4, N6 (SEW and C⁴I only), and N83 (CINC/FLTCINC endorsement)) shall:

- a. Receive MNS from the Program Sponsor for endorsement.
- b. Review/Endorse MNS (Flag-level) on attached signature page.

5. Step 5 Final Review Preparation. The Program Sponsor shall:
 - a. Collect final Flag-level endorsements.
 - b. For ACAT I programs, prepare proposed JROC briefing.
 - c. Forward final MNS with original Flag-level signature endorsements and proposed JROC briefing to CNO (N810) for final coordination and processing. Include an electronic file of the MNS in CNO standard word processing software.
6. Step 6 Final Coordination. CNO (N810) shall:
 - a. Verify final document compliance and that all endorsements are received.
 - b. Forward ACAT II, III, and IV MNS to CNO (N8) for validation and approval (endorsement only of applicable United States Marine Corps (USMC) program). Attach Final Approval signature page (see Appendix II, page II-13). Proceed to Step 7.
 - c. Forward ACAT I MNS to, in order, CNO (N8), VCNO, CNO for endorsement (and, for USMC programs, Marine Corps Combat Development Command (MCCDC) for Assistant Commandant of the Marine Corps (ACMC) and Commandant of the Marine Corps (CMC) endorsement). Include JROC briefing with MNS. Proceed to Step 8.
7. Step 7 ACAT II, III, and IV Validation/Approval
 - a. CNO (N8) shall:
 - (1) Validate the MNS (Navy programs only). [Note 1]
 - (2) Approve Navy program MNSs. Endorse applicable USMC program MNSs (ACMC approves). [Note 2]
 - (3) Prioritize the Mission Need relative to other warfighting programs (may be R³B forum review [Note 3]).
 - b. CNO (N810) shall:
 - (1) For Navy programs, proceed to Step 12.
 - (2) For applicable USMC programs, forward endorsed MNS to MCCDC for ACMC review and approval.

Step 7 NOTES:

- | |
|--|
| (1) The validation of the MNS confirms that the need is valid and there are no non-materiel alternatives. |
| (2) Approval is the formal sanction of the requirement document and certifies that the documentation has been subject to the uniform process of references (a) and (c) . |
| (3) R ³ B may meet to review validity of documents, evaluate degree of joint participation expected, review interoperability issues, and assess risk and review priority of the need. |

8. Step 8 ACAT I Endorsement. CNO (N8) shall:
 - a. Review and endorse MNS (Navy and USMC programs).
 - b. Forward MNSs to VCNO for review.
 - c. Review and comment as needed on proposed JROC briefing (Navy programs only).
9. Step 9 VCNO Endorsement. VCNO shall:
 - a. Review and endorse MNS (Navy and USMC programs).
 - b. Forward MNS to CNO for review.
 - c. Review and comment as needed on proposed JROC briefing (Navy programs only).
10. Step 10 CNO Endorsement
 - a. CNO shall:
 - (1) Review and approve MNS for Navy (endorse for USMC programs).
 - (2) Comment as needed on proposed JROC briefing (Navy programs only).
 - b. The Program Sponsor shall revise the JROC briefing as required (Navy programs only). Provide smooth version (five copies) to CNO (N810).
 - c. CNO (N810) shall:
 - (1) For Navy programs, forward approved MNS and proposed JROC briefing to JROC secretariat.
 - (2) For USMC programs, forward endorsed MNS to MCCDC, as applicable.
11. Step 11 JROC (Navy ACAT I programs only)

- a. The Program Sponsor shall conduct formal pre-briefs with VCNO as scheduled by CNO (N810). Preliminary briefs with CNO (N8, N81) may also be required.
- b. JROC validates and approves MNS.

12. Step 12 Issuance

- a. CNO (N810) shall:
 - (1) Serialize MNS (M____-[Sponsor N-code]-CY). Provide copy to the Program/Resource Sponsor.
 - (2) Issue the MNS.
- b. The Program Sponsor shall forward the MNS to ASN(RD&A) for ACAT I or II designation, or PEO/SYSCOM/DRPM for ACAT III or IV designation, and Milestone 0 scheduling.

MNS REVIEW, VALIDATION AND APPROVAL PROCESS

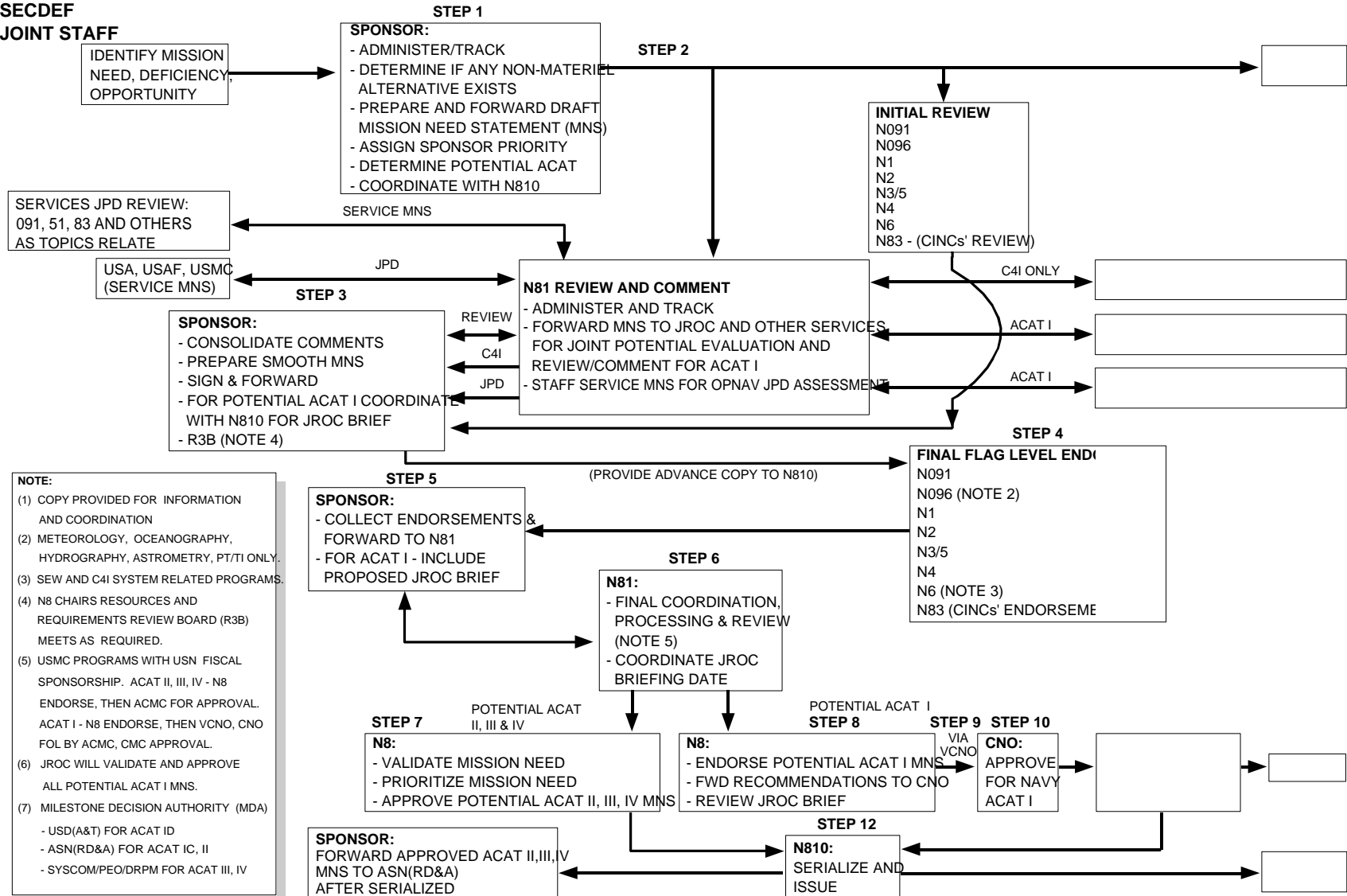
ANY DOD COMPONENT
U&S COMMANDS
MIL DEPTS
SECDEF
JOINT STAFF

OPNAV PROGRAM/
RESOURCE SPONSOR

ASSESSMENTS
(N81)

PARALLEL REVIEWS
OPNAV & CINCs

CNO



- (6) JROC WILL VALIDATE AND APPROVE ALL POTENTIAL ACAT I MNS.
- (7) MILESTONE DECISION AUTHORITY (MDA)
- USD(A&T) FOR ACAT ID
 - ASN(RD&A) FOR ACAT IC, II

Enclosure (7)

II-10

Enclosure (7)

SECNAVINST 5000.2B

OPNAV MISSION NEED STATEMENT (MNS) COVER PAGES

(For Review)

**MISSION NEED STATEMENT
FOR**

[insert program long title]
(POTENTIAL ACAT ____)

SUBMITTED: _____ PRIORITIZATION (*): _____

(PROGRAM SPONSOR) (DATE)

REVIEWED:

(N091) (DATE)

(N096) (DATE)

(N1) (DATE)

(N2) (DATE)

(N3/5) (DATE)

(N4) (DATE)

(N6) (DATE)

(N83 - CINC/FLTCINC review) (DATE)

(N81 - N8 review) (DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(see Appendix II, page II-4) 4 = Valid 5 = Excess

[Note: Use for Initial MNS Draft Review of Navy and applicable (see page II-7, paragraph 6) USMC programs. Flag-level signatures required.]

[Note: Initial draft review should be accomplished within 30 days, and does not need to be sequential.]

(For Approval)

**MISSION NEED STATEMENT
FOR**

[insert program long title]
(POTENTIAL ACAT ____)
Serial Number: (*) _____

[Note: For ACAT II, III, and IV only:]

VALIDATED and APPROVED:

(N8)

(DATE)

[Note: For ACAT I only:]

RECOMMENDED:

(N8)

(DATE)

REVIEWED:

(VCNO)

(DATE)

APPROVED FOR NAVY:

(CNO)

(DATE)

VALIDATED and APPROVED:

(JROC) (*)

(DATE)

[Note: Use for Final MNS Approval. CNO (N81) will attach this cover page.]

(*) - CNO (N810) will assign serial number once validated and approved. For ACAT I programs, CNO (N810) will insert JROC validation and approval date prior to issuance.

ANNEX B - ANALYSIS OF ALTERNATIVES

1. Procedures

For the Department of the Navy (DON), analysis of alternatives development procedures are detailed in this instruction, enclosure (7), Appendix II, starting on the next page.

2. Responsibilities and Points of Contact

For DON, analysis of alternatives responsibilities are detailed in this instruction, enclosure (7), Appendix II, Annex B.

ANALYSIS OF ALTERNATIVES DEVELOPMENT PROCEDURES

1. Analysis of Alternatives Overview

While the use of analyses to support programmatic decisions is not new, the analysis of alternatives process brings formality to this support. The process provides a forum for involving the Office of the Chief of Naval Operations (OPNAV)/Headquarters Marine Corps (HQMC) and the acquisition community in analysis of alternative trade-off discussions, and formulation and documentation of the analytical underpinning for program decisions.

1. OPNAV/HQMC, who are responsible for representing the user, establishing performance requirements, and for the planning, programming, and budgeting system, benefit by:
 - a. Formally participating in alternative performance and cost trade-off discussions.
 - b. Gaining early insight into life-cycle costs.
2. Program Managers benefit through:
 - a. Timely resolution of cost and performance trade-offs.
 - b. Early scoping of OPEVAL resource issues.
 - c. Analysis and discussions supporting establishment of OPEVAL pass-fail criteria.
3. Hence, an analysis of alternatives is more than a record of pertinent program related analyses; it is also a process that includes a forum for framing and discussing Milestone Decision Authority (MDA)-level issues. This idea is expanded in the next paragraph.
4. Oversight of the analysis involving senior, experienced, and empowered individuals from both acquisition and OPNAV/HQMC communities, play a central role in the analysis process. For example, the analysis of alternatives Integrated Product Team (IPT) provides advice and counsel as alternative concepts, scenarios, and assumptions are being formulated. Reviews of in-progress analysis ensures the analysis

addresses the key issues at hand and that associated assumptions and limitations are clearly stated. This process provides a forum for the acquisition and OPNAV/HQMC communities to define and weigh analysis of alternatives trade-off opportunities - supported, as appropriate, by analyses. These discussions, as much as the analytic studies that take place, are a vital characteristic of the analysis of alternatives process.

5. The focus of an analysis of alternatives is a function of the program's milestone. Milestone I analysis of alternatives help the MDA choose a preferred system concept and decide whether the cost and performance of the concept warrants initiating an acquisition program. Milestone I analysis of alternatives can also illuminate the concept's cost and performance drivers and key trade-off opportunities; and provides the basis for the establishment of operational performance threshold and objective values for use in the ORD, TEMP, and ORD.
6. At Milestone II, the analysis refines the analysis of alternatives drivers and performance threshold and objective values.
7. Since cost and performance issues have typically been resolved prior to Milestone III, an analysis of alternatives is normally not required to support this milestone.

2. Analysis of Alternatives Focus and Scope

The intent of an analysis of alternatives is two-fold; to aid in the resolution of MDA-level issues; and to provide analytical insight and basis for the establishment of operational performance characteristics. Candidate issues shall be listed in the analysis of alternatives scope of analysis (described below). The MDA and CNO/CMC, in conjunction with the analysis of alternatives, shall control the focus and scope of the analysis of alternatives by adding to or deleting from issues listed in the scope of analysis.

1. The scope of analysis should correlate to the amount of resources affected by the decision, with ACAT III programs receiving less analytical attention than ACAT I and II programs. For example, campaign level analyses will rarely be needed to illuminate ACAT III-level issues.

2. If the preferred alternative has already been identified by previous analyses and the MDA and CNO/CMC formally agrees that all issues have already been resolved or that further analysis is unlikely to aid in the resolution of outstanding issues, a new analysis effort shall not be initiated. (If these conditions were met, the analysis of alternatives shall simply present the rationale and any existing analyses applicable to program decisions already made.)
3. For ACAT IV programs, the analysis shall be tailored and shall be less rigorous than that of ACAT II or III programs. However, in the unique situation where the resolution of substantive issues would benefit from a more rigorous process, the MDA (SYSCOMs/PEOs/DRPMs) shall direct the conduct of a more in-depth study.
4. With few exceptions, technical studies are beyond the scope of an analysis of alternatives. These studies are conducted under the supervision of the Program Manager who shall then supply the results for incorporation in the analysis of alternatives.

3. Initiation of the Analysis of Alternatives Process

The Program Sponsor, in coordination with the analysis of alternatives IPT, shall be responsible for developing the scope of analysis. At a minimum, this scope of analysis shall identify; the activity responsible for conducting the analysis, alternatives to be addressed, proposed completion date, operational constraints associated with the need, and specific issues to be addressed. These issues shall be well thought out to ensure the analysis is comprehensive and addresses the pertinent MDA-level issues to be resolved at the upcoming decision meeting.

1. The scope of the analysis shall be approved by the individuals shown in the following table:

| | ACAT ID | ACAT IC/II/III | ACAT IV |
|----------------------------|-----------------------------------|-----------------------------|------------------------------|
| Scope of Analysis Approval | ASN(RD&A) & DCNO(N8) or DC/S(P&R) | MDA & DCNO(N8) or DC/S(P&R) | MDA & Program Sponsor (flag) |

2. CNO (N81) shall be responsible for coordinating CNO (N8) final approval.

4. Oversight of the Analysis of Alternatives Process

An analysis of alternatives IPT shall oversee all DON analysis of alternatives and shall provide advice and counsel to the analysis the independent analysis director and recommendations to the MDA and CNO/CMC. MDAs shall ensure that the analysis of alternatives IPT is tailored in scope and size to each specific analysis of alternatives. The oversight provided by this IPT is intended to assess the validity and completeness of key program issues, alternatives, assumptions, MOEs, scenarios, concept of operations and threat characteristics.

1. Analysis of alternatives shall be equally represented by the acquisition and requirements communities. For Navy programs, in the rare occasion when the Program Sponsor is not the requirements community co-chair, CNO (N81) will be.
2. In the event consensus cannot be readily obtained at this oversight level, issues shall be framed and raised for MDA and DCNO(N8)/DC/S(P&R), or designee, resolution.
3. Marine Corps analysis of alternatives are similarly composed with DC/S(P&R), Marine Corps Combat Development Command (MCCDC), Marine Corps Systems Command (MARCORSYSCOM), and MCOTEA substituting for their Navy counterparts.

5. Analysis Director Role in the Process

An Analysis Director shall be assigned to plan, lead, and coordinate funding for analysis efforts. Directors are independent of, but receive advice and counsel from, the analysis of alternatives IPT.

1. Study Directors shall:
 - a. Be independent of the Program Manager.
 - b. Have a strong background in analysis.
 - c. Have technical and operational credibility.
2. Once the analysis of alternatives' scope of analysis has been approved, the Analysis Director shall draft the study plan. This plan shall contain details associated with:
 - a. Issues to be addressed in the study.
 - b. Alternatives to be analyzed.

c. Scenarios (including the threat laydown) to be used.

d. Mathematical models or simulations to be employed.

e. Measures of Effectiveness (MOEs) (and as appropriate, associated Measures of Performance (MOPs)) to be used.

f. Work plan including a listing of responsibilities (effort and schedule) for supporting organizations.

g. Plan of Action and Milestones (POA&M) corresponding with milestones listed in the approved scope of analysis.

3. Along with their other duties, Analysis Directors shall:

a. Act as spokesperson by presenting periodic analysis briefings (see paragraph 9 on Briefings/Reports below).

b. Ensure that measures are taken to coordinate ACAT I program analysis efforts with all appropriate external agencies.

c. Organize a Study Team to assist in planning, conducting, and evaluating the analysis. This Study Team shall include representatives from the organizations represented in the analysis of alternatives IPT, as necessary.

4. In the unique situation that a contractor is employed as an Analysis Director, appropriate formal measures shall be taken to avoid both the appearance and existence of an organizational conflict of interest.

6. OPNAV Role in the Analysis of Alternatives Process

DCNO(N8) shall be jointly responsible with the ASN(RD&A) for top-level oversight of the analysis of alternatives process. In this role, DCNO(N8) shall facilitate the process of arriving at consolidated OPNAV positions on matters relating to alternatives analysis and is the final OPNAV approval authority for ACAT I, II, and III program analysis decisions. For ACAT IV programs, these tasks shall be performed by the Program Sponsor.

1. OPNAV program sponsors shall be responsible for providing for active user representation on analysis of alternatives IPTs, proposing an analysis of alternatives scope of analysis, and planning and programming efforts as detailed in this instruction,

enclosure (2), paragraph 2.4. (PEOs/SYSCOMs or DRPMs/Program Managers, as appropriate, in conjunction with the cognizant resource sponsors, are responsible for budgeting for and execution of this funding).

2. The Director of Naval Intelligence shall validate the threat capability described in an analysis of alternatives.
3. CNO (N091) shall provide advice and counsel with respect to MOEs and MOPs used in analysis of alternatives. The intent is to ensure that criteria used to justify acquisition decisions are either directly testable through MOEs or are indirectly testable through MOPs. CNO (N091) shall forward MOEs and MOPs developed during the analysis of alternatives to COMOPTEVFOR for review with respect to their testability.
4. The Head, Requirements and Acquisition Support Branch (CNO (N810)) is the CNO (N8) point of contact for matters relating to analysis of alternatives. As the OPNAV tracker for processing analysis of alternatives, CNO (N81) shall be provided copies of all correspondence and documentation associated with all analysis of alternatives.
5. Deputy Chief of Naval Operations (Plans, Policy and Operations) (CNO (N3/5)) shall develop and accredit scenarios consistent with Joint Chiefs of Staff (JCS) Defense Planning Guidance for use in analyses of alternatives.
6. Director, Space and Electronic Warfare (CNO (N81)) accredit all models used in analyses of alternatives.

7. HQMC Role in the Analysis of Alternatives Process

The DC/S(P&R) is jointly responsible with the ASN(RD&A) for overseeing Marine Corps analysis of alternatives activities. In this role, DC/S(P&R) facilitates the process of arriving at consolidated HQMC positions on analysis of alternatives matters and acts as the final HQMC approval authority for analysis of alternatives Analysis Directors, study plans, and formal reports for ACAT I and II analyses. MCCDC (C44) and MARCORSYSCOM jointly perform these functions for ACAT III and IV analyses of alternatives.

1. In support of analyses that require Marine Corps-unique operations, DC/S(P&R) shall develop and

accredit scenarios consistent with JCS Defense Planning Guidance.

2. MCCDC shall provide for active user representation to the Analysis Director, as well as planning, programming, and budgeting funding for analysis of alternatives activities conducted prior to program initiation.
3. As the Resource Sponsor, MARCORSYSCOM shall plan, program, and budget funding to support analysis of alternatives efforts following program initiation. In conjunction with PEOs/DRPMs/Program Managers, as appropriate, MARCORSYSCOM shall budget for these analysis efforts.
4. The Director of the United States Marine Corps Intelligence Center (USMCIC) shall validate the threat capability described in Marine Corps analyses.
5. MCOTEA personnel shall provide advice and counsel with respect to MOEs and MOPs used in analyses. The intent is to ensure that criteria used to justify acquisition decisions are either directly testable through MOEs or are indirectly testable through MOPs. DC/S(P&R) shall forward MOEs and MOPs developed during the analysis of alternatives for Marine Corps programs to Director, MCOTEA for review with respect to their testability.
6. For ACAT III and IV programs, the Marine Corps analysis of alternatives Standing IPT provides advice and counsel to CG MCCDC and MARCORSYSCOM. They review and prioritize analyses considering urgency of need, to ensure maximum efficiency in cost, time, and level of effort. The Standing IPT also advises the MDA on tailoring analysis of alternatives. During the conduct of formal analyses of alternatives the IPT shall provide guidance to the Analysis Director.

8. Program Manager Role in the Analysis of Alternatives Process

As a co-chair of the analysis of alternatives IPT, a Program Manager shall provide Analysis Directors valuable advice and counsel, particularly regarding the executability of proposed alternatives. In conjunction with the resource sponsor, Program Managers shall provide and execute analysis funding in support of the Analysis Director's plan. Program Managers shall also be responsible for ensuring appropriate organizational conflict of interest clauses are included in contracts for analysis of alternatives-related services. As the sole person who is privy to related industry efforts, the Program Manager shall be

responsible for providing feedback/feed forward so that analysis of alternatives efforts can be coordinated with ongoing industrial concept exploration studies. The intent is for both efforts to be comprehensive and complementary.

9. Briefings/Reports

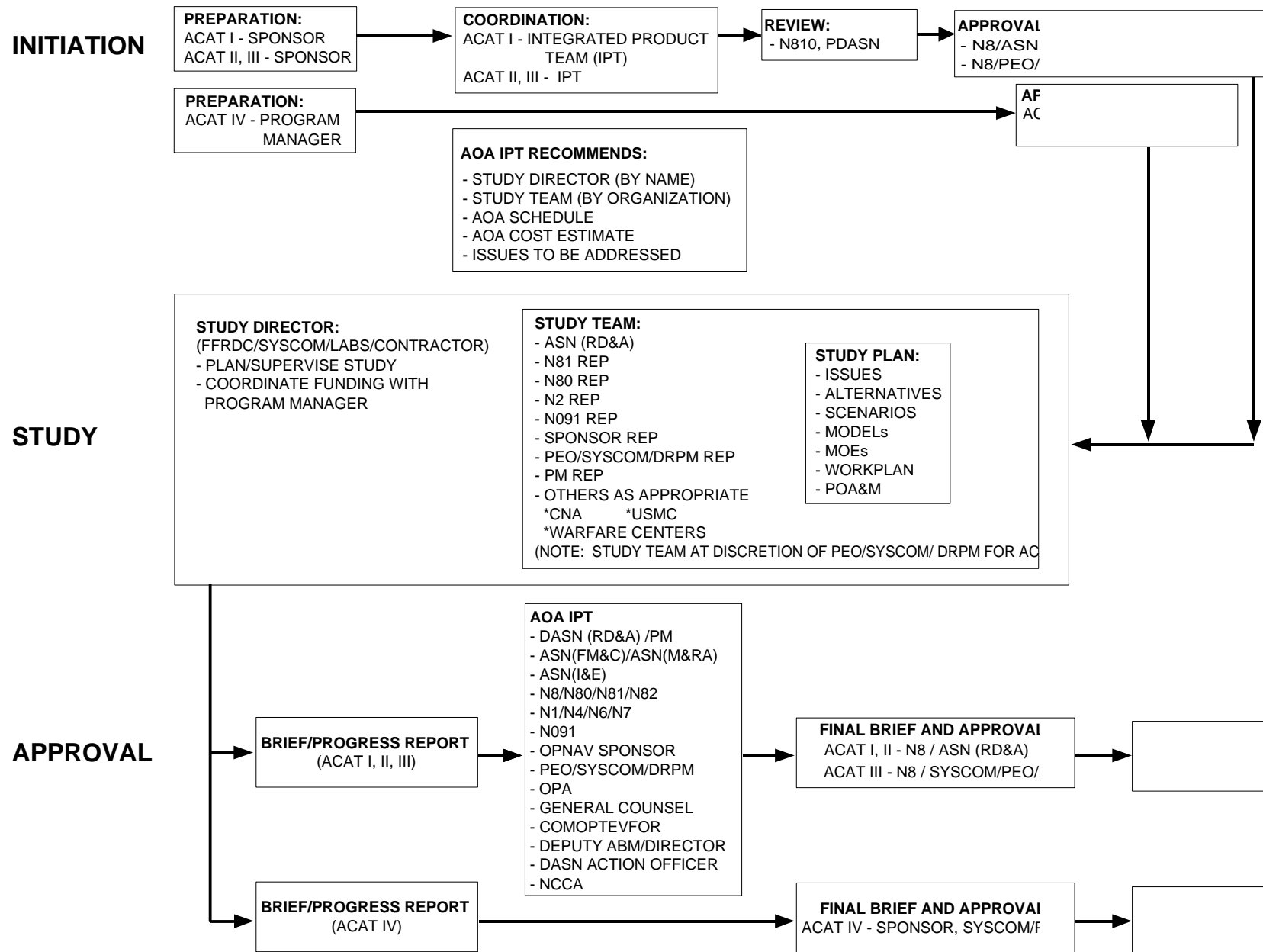
1. Typically an analysis of alternatives proceeds in the following five phases:
 - a. Planning.
 - b. Determination of performance drivers.
 - c. Determination of cost drivers.
 - d. Resolution of cost/performance issues.
 - e. Preparing final briefing, and final report, if necessary.
2. To ensure an analysis of alternatives is progressing satisfactorily and will be completed in time to support an acquisition milestone, Analysis Directors shall provide status briefings to the analysis of alternatives IPT, when requested.
3. At the end of the process, the analysis of alternatives IPT shall be presented a final briefing of analysis results. If required, the final report and the associated brief shall also be reviewed by the analysis of alternatives IPT. The intent is to ensure all issues have been addressed and that the brief accurately presents the analysis of alternatives. The final report for an ACAT I or II program is approved by ASN(RD&A)(MDA for ACAT III), and DCNO(N8)/DC/S(P&R)(CG MCCDC for ACAT III), if required. The final report for an ACAT IV program is approved by the MDA and Program Sponsor. (see the Deskbook (DON Section), enclosure (7), Appendix II, pages II-7 and II-8, for sample final report approval signature pages)
4. In the case of ACAT ID programs, ASN(RD&A) and CNO (N8)) shall approve the analysis of alternatives performance parameters approximately 120 days prior to the Defense Acquisition Board (DAB) date. This shall support the Joint Requirements Oversight Council (JROC) review of the Key Performance Parameters, their thresholds and objectives, as specified in the ORD and APB.

5. A copy of all approved ACAT I, II, III, and IV analysis of alternatives final reports, if required by CNO/CMC, or the MDA, shall be provided to COMOPTEVFOR, or Director, MCOTEA, as appropriate. A copy shall also be provided to CNO (N810), as the OPNAV historian for analysis of alternatives

10. Navy Analysis of Alternatives Process

The Navy analysis of alternatives process diagram is shown on the next page. A sample scope of analysis and final report signature approval pages are provided in the Deskbook (DON Section), enclosure (7), Appendix II, Annex B, beginning on page II-4.

ASN(RD&A)/OPNAV AOA INITIATION, STUDY, AND /



ANNEX C - OPERATIONAL REQUIREMENTS DOCUMENTS

References: (a) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96
(b) Chairman Joint Chiefs of Staff Memorandum of Policy No. 77, "Requirements Generation System Policies and Procedures," 17 Sep 92
(c) MCO 3900.4D, "Marine Corps Program Initiation and Operational Requirement Documents," 31 Jan 91

1. Procedures

1.1 Preparation and Submission

1. The analysis of alternatives leads the development of the Operational Requirements Document (ORD). The analysis of alternatives and ORD may be developed and updated in parallel. However, since the final ORD should be consistent with the analysis of alternatives, the analysis of alternatives results need to be available early in the ORD review cycle to allow for ORD independent validation efforts. Thus, the minimum acceptable requirements (i.e., thresholds) and objectives for the ORD must consider and should be consistent with the analysis of alternatives for each milestone. References (a) and (b) provide the format and guidance for DON development of the ORD. Reference (c) also provides guidance for Marine Corps program ORD development.

1.2 Review Procedures

1. Appendix II contains the OPNAV ORD signature cover page formats.
2. Appendix II contains the OPNAV ORD implementation procedures for preparation, review, endorsement, validation, and approval. Marine Corps ORDs are processed in accordance with reference (c) and Appendix II, page II-28, paragraph 6.

OPERATIONAL REQUIREMENTS DOCUMENT (FORMAT)

OPERATIONAL REQUIREMENTS DOCUMENT

FOR

PROGRAM TITLE

(Paragraphs 4a and 4b in the ORD format in reference (a), Appendix II, are to be implemented in DON as clarified below:)

4. Capabilities Required.

a. System Performance.

- (1) Base all performance thresholds on an analysis of mission demands and comparable fleet and commercial system experience. Thresholds and objectives shall be stated in measurable terms.

b. Logistics and Readiness.

- (1) Readiness thresholds shall account for all system downtime, including scheduled maintenance.
- (2) Diagnostics effectiveness thresholds shall be established for systems whose faults are to be detected by external support equipment or built-in test (BIT). Threshold parameters shall include percent correct fault detection, percent correct fault isolation, and percent false alarms.
- (3) The calculation of Mean Time Between Operational Mission Critical Failure (MTBOMCF), shall be used as the operational system reliability parameter during OT&E, including OPEVAL.

OPNAV OPERATIONAL REQUIREMENTS DOCUMENT PROCEDURES

1. Step 1 ORD Initiation or Updating. This step applies to initiation of a new ORD or updating an existing ORD prior to a milestone. The Program Sponsor shall:
 - a. Administer/track operational requirements processing.
 - b. Verify that the exit criteria for the approaching milestone decision have been met.
 - c. Prepare a draft ORD based upon the emerging results of an analysis of alternatives. [Note 1]
 - d. Assign Sponsor's priority. [Note 2]
 - e. Ensure that the performance parameters, specified in terms of thresholds and objectives, satisfy the mission need. Also ensure that Key Performance Parameters in the ORD are identified in such a fashion that they may be extracted and included in the Acquisition Program Baseline (APB).
 - f. Coordinate with the PEO and Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) to verify the potential ACAT.
 - g. Coordinate with CNO (N810) before routing to ensure appropriate OPNAV codes are identified and that the document complies with **references (b) and (d)** and this instruction. Use Initial Draft Review signature page for routing (see this instruction, enclosure (7), Appendix II, page II-33). [Note 3]

Step 1 NOTES:

(1) Draft ORDs for applicable (see paragraph 6, Step 6) USMC programs shall be forwarded from MCCDC.

(2) Program Sponsor Priority ranking categories:

- (a) "1" Essential capability absolutely necessary for the success of (joint) operations. Includes programs which are mandated by regulations or necessary for the safe operation of (joint) forces (i.e., a cost of doing business).
- (b) "2" Critical program to ensure that (joint) combat effectiveness is not jeopardized. Loss of capability would result in a severe risk to (joint) forces in carrying out a mission.
- (c) "3" Important program to (joint) combat effectiveness. Precludes serious risk in one or more (joint) mission areas. Lost capability could result in increased losses or extended timeliness but would not jeopardize overall (joint) mission.
- (d) "4" Valid warfighting capability that provides marginal contribution to (joint) combat effectiveness. Loss may result in some risk to (joint) operations. May be duplicative with another service(s) capability.
- (e) "5" Excess capability. Could be replaced by another intra/inter-service program with minimum impact on (joint) combat effectiveness.

- (3) **Reference (a)**, Part 7, Appendix II, paragraph 5h, requires identification of "procedural and technical interfaces, and communication, protocols, and standards required to be incorporated to ensure interoperability with other Service, Joint Service, and Allied systems." A statement addressing the specific capabilities required for Joint Interoperability shall be made. If interoperability is not a requirement, so state.

2. Step 2 Initial review

a. The Program Sponsor shall:

- (1) Distribute the draft ORD concurrently to CNO (N1, N2, N3/5, N4, N6, N81, N83 (for CINC and FLTCINC), N091, N096) for review and comment. [Notes 1 and 2]
- (2) Forward a copy of the draft ORD to ASN(RD&A) and the cognizant SYSCOM/PEO/DRPMs for information.

b. CNO (N81) shall:

- (1) Enter the draft ORD into the requirements document library data base. [CNO (N810)]
- (2) Review ORD and forward comments to sponsor. [CNO (N810/N815)]
- (3) Forward the following types of ORDs to the other Services for joint assessment
 - (a) ORDs which have been preceded by a MNS which have been evaluated Joint or Joint Interest.
 - (b) ORDs which have not been preceded by a MNS.
- (4) In addition to joint assessment, C⁴I related ORDs shall be forwarded to JCS(J-6I) for a C⁴I interoperability certification by JCS(J-6). [Notes 3 and 4]

Step 2 NOTES:

- (1) The Program Sponsor shall repeat the Initial Review if the revisions are substantial.
- (2) CNO(N091) shall forward ORD to COMOPTEVFOR for review. CNO(N091) shall provide consolidated comments.
- (3) CNO (N81) signature on the applicable review signature page (see Appendix II, page II-33) shall be required before the ORD is forwarded to JROC secretariat.
- (4) CNO (N81) also staffs other Services' ORDs which have MNSs evaluated as Joint or Joint Interest, or are not preceded by a MNS, to reassess JPD review by OPNAV staff. Appropriate OPNAV codes for review shall include CNO (N51, N6, N815, N83, N091) and others as topics relate.

3. Step 3 ORD revision. The Program Sponsor shall:

- a. Consolidate comments and revise document as required. For USMC programs, forward OPNAV comments to MCCDC, as applicable.
 - b. For Navy programs, prepare smooth ORD with Final Flag-Level Endorsement signature page (see Appendix II, page II-34).
 - c. Coordinate with CNO (N801) for R³B, if required. A R³B may be convened before the ORD is validated and endorsed/approved (see Note 2 under Step 7). CNO (N801) schedules R³B.
 - d. For Navy ACAT ID programs, coordinate with CNO (N810) for JROC schedule and briefing. CNO (N810) assists the sponsor with the joint review of the Key Performance Parameters extracted from the ORD and included in the APB.
 - e. Ensure CNO (N810) is provided an advance copy of the smooth ORD prior to starting Final Flag-level Endorsement.
 - f. Forward the ORD concurrently to applicable OPNAV codes for final Flag-level endorsement: CNO (N091, N096 (Meteorology, Oceanography, Hydrography, Astrometry, and Precise Time/Time Interval only) N1, N2, N3/5, N4, N6 (SEW Only), N83 (for CINC and FLTCINC endorsement)).
4. Step 4 Final Flag-level endorsement. Applicable OPNAV codes (CNO (N091, N096 (Meteorology, Oceanography, Hydrography, Astrometry, and Precise Time/Time Interval only), N1, N2, N3/5, N4, N6 (SEW and C⁴I only), and N83 (for CINC and FLTCINC endorsement)) shall review and endorse ORD (Flag-level) on attached signature page.
5. Step 5 Final review preparation. The Program Sponsor shall:
- a. For Navy ACAT ID programs, prepare proposed JROC briefing.
 - b. For ACAT I programs, obtain the Director, Programming Division (CNO (N80)) endorsement of the draft APB.
 - c. Forward final ORD with original Flag-level signature endorsements, draft APB, and approved AOA results to CNO (N81) for final coordination and processing. For Navy ACAT ID programs, include the proposed JROC briefing, draft APB performance section, and an electronic file in CNO standard word processing software.
6. Step 6 Final coordination. CNO (N810) shall:
- a. Verify that the final document complies with references (c) and (d) and this instruction, and that all endorsements have been received.

- b. Forward ACAT II, III, and IV ORDs to CNO (N8) for validation and approval (endorsement only for applicable USMC programs). Attach Final Approval signature page (see Appendix II, page II-35). Proceed to Step 7.
- c. Forward ACAT I ORDs to, in order, CNO (N8), VCNO, CNO for validation and endorsement/approval (and, for USMC programs, to MCCDC for ACMC endorsement and CMC approval). For Navy ACAT ID programs, include proposed JROC briefing, and draft APB performance section. Proceed to Step 8.

7. Step 7 ACAT II, III , and IV validation and approval

a. CNO (N8) shall:

- (1) Validate the ORD (Navy programs only). [Note 1]
- (2) Approve Navy program ORDs. Endorse applicable USMC program ORDs (ACMC approves). [Note 2]
- (3) Prioritize the need for the system relative to other warfighting programs (may be a R³B decision forum [Note 3]).

b. CNO (N810) shall:

- (1) For Navy programs, proceed to Step 12.
- (2) For applicable USMC programs, forward endorsed ORD to MCCDC for ACMC validation and approval.

Step 7 NOTES:

- (1) Validation of the ORD confirms that for the capabilities provided by the objectives and thresholds of the performance parameters will fulfill the mission need, and that the Key Performance Parameters are essential for mission need accomplishment.
- (2) Approval is the formal sanction of the requirement document and certifies that the documentation has been generated through the process required by **references (a) and (b)** and this instruction.
- (3) R³B may meet to review validity of documents and:
 - (a) Concur that the selected approach is the most operationally sound and cost effective.
 - (b) Evaluate whether the ORD and the Key Performance Parameters of the APB meet the Mission Need.
 - (c) Evaluate degree of joint participation expected.
 - (d) Review interoperability issues.
 - (e) Assess risk and review priority of need.

8. Step 8 ACAT I endorsement. CNO (N8) shall:

- a. Review and endorse ORD (Navy and USMC programs).
- b. Forward ORD to VCNO.
- c. Review and comment as needed on proposed JROC briefing (Navy programs only).
- d. For Navy ACAT IC programs, validate the Key Performance Parameters from the performance section of the draft APB (extracted from the ORD).

9. Step 9 VCNO endorsement. VCNO shall:

- a. Review and endorse ORD (Navy and USMC programs).
- b. Forward to CNO.
- c. Review and comment as needed on proposed JROC briefing (Navy programs only).

10. Step 10 CNO validation and approval

a. CNO shall:

- (1) For ACAT ID programs: endorse Navy program ORDs (validate and approve if JROC delegates authority), endorse ORDs for applicable USMC programs. Comment as needed on proposed JROC briefing (Navy programs only).
- (2) For ACAT IC programs: validate and approve Navy ORDs, endorse ORDs for applicable USMC programs.

b. The Program Sponsor shall (for Navy ACAT ID programs) revise JROC briefing, as required, provide a smooth version (five copies) to CNO (N810).

c. CNO (N810) shall:

- (1) For Navy ACAT ID programs, forward Key Performance Parameters from the performance section of the draft APB (extracted from the ORD) and proposed JROC briefing to JROC secretariat.
- (2) For Navy ACAT IC programs, proceed to Step 12.
- (3) For all applicable USMC ACAT I programs, forward endorsed ORD to MCCDC.

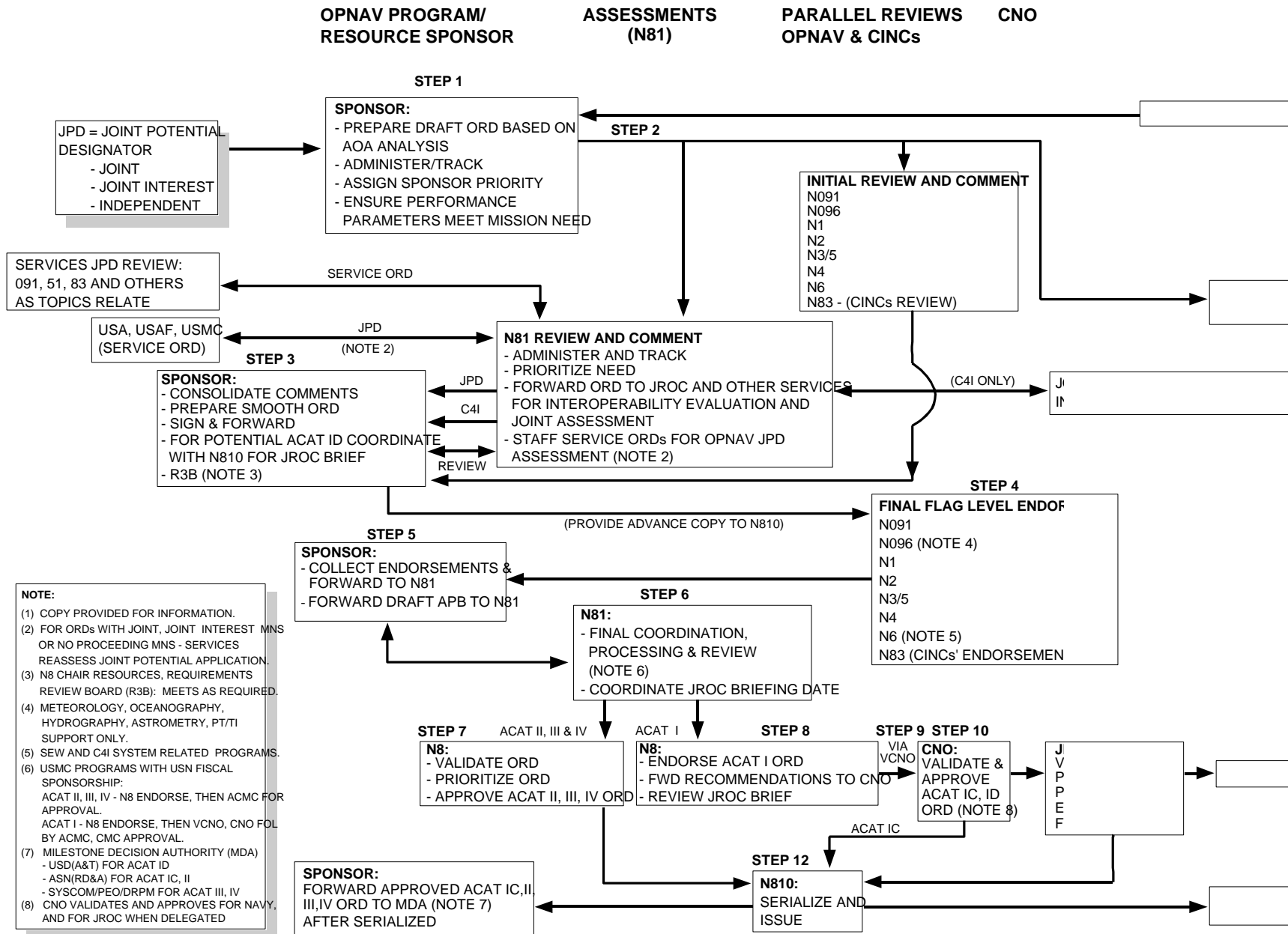
11. Step 11 JROC (Navy ACAT I programs only)

- a. The Program Sponsor shall conduct formal pre-briefs with VCNO as scheduled by CNO (N810). Preliminary briefs with CNO (N8 and N81) may also be required.
- b. JROC validates and approves as follows:
 - (1) For ACAT ID programs: validates and approves ORD (except when authority delegated to CNO), validates the Key Performance Parameters (extracted from the ORD). VCJCS forwards the Key Performance Parameters to USD(A&T) for a DAB review.

12. Step 12 Issuance

- a. CNO (N810) shall:
 - (1) Serialize (____-[Program Sponsor N-code]-CY). Provide copy to the Program/Resource Sponsor.
 - (2) Issue ORD.
- b. Following ORD approval, the Program Sponsor endorses the APB in accordance with this instruction, enclosure (7), Appendix II, page II-38.
- c. The Program Sponsor shall forward the approved ORD to the MDA and PM.
- d. PEO/SYSCOM/DRPM shall schedule a milestone meeting.

ORD REVIEW, VALIDATION AND APPROVAL PRO



OPNAV OPERATIONAL REQUIREMENTS DOCUMENT COVER PAGES**OPERATIONAL REQUIREMENTS DOCUMENT****(For Review)****FOR**

[insert program long title]
 (POTENTIAL ACAT ____)

SUBMITTED:

PRIORITIZATION (*): _____

(PROGRAM SPONSOR)_____
(DATE)

REVIEWED :

(N091)_____
(DATE)_____
(N096)_____
(DATE)_____
(N1)_____
(DATE)_____
(N2)_____
(DATE)_____
(N3/5)_____
(DATE)_____
(N4)_____
(DATE)_____
(N6)_____
(DATE)_____
(N83 - CINC/FLTCINC review)_____
(DATE)_____
(N81 - N8 review)_____
(DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
 (See Appendix II, page II-26) 4 = Valid 5 = Excess

[Note: Use for Initial ORD Draft Review of Navy and applicable (see page II-28, paragraph 6) USMC programs. Flag-level signatures required.]

[Note: Initial draft review should be accomplished within 30 days, and does not need to be sequential.]

OPERATIONAL REQUIREMENTS DOCUMENT
(For Endorsement) FOR
[insert program long title]
(POTENTIAL ACAT ____)

| | |
|---------------------------|----------------------------------|
| <hr/> SUBMITTED: | <hr/> PRIORITIZATION(*): _____ |
| <hr/> (PROGRAM SPONSOR) | <hr/> (DATE) |

| | |
|--|----------------|
| <hr/> ENDORSED: | |
| <hr/> (N091) | <hr/> (DATE) |
| <hr/> (N096 - Meteorology, Oceanography Hydrography, Astrometry, PTTI only) | <hr/> (DATE) |
| <hr/> (N1) | <hr/> (DATE) |
| <hr/> (N2) | <hr/> (DATE) |
| <hr/> (N3/5) | <hr/> (DATE) |
| <hr/> (N4) | <hr/> (DATE) |
| <hr/> (N6 - SEW and C ⁴ I only) | <hr/> (DATE) |
| <hr/> (N83 - CINC/FLTCINC endorsement) | <hr/> (DATE) |

| | |
|--|----------------|
| <hr/> FINAL COORDINATION, PROCESSING and FORWARDING: | |
| <hr/> (N81) | <hr/> (DATE) |

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(See Appendix II, page II-26) 4 = Valid 5 = Excess
[Note: Use for Final Principal Flag-level ORD Endorsement of Navy
and applicable (see page II-28, paragraph 6) USMC programs]
[Note: Obtain all signatures before forwarding to N81 for final
coordination, processing and forwarding]

OPERATIONAL REQUIREMENTS DOCUMENT

(For Approval)

FOR

[insert program long title]

(POTENTIAL ACAT ____)

Serial Number (*) : _____

[Note: For ACAT II, III, and IV programs:]

VALIDATED and APPROVED:

(N8)

(DATE)

[Note: For ACAT I programs:]

RECOMMENDED:

(N8)

(DATE)

REVIEWED:

(VCNO)

(DATE)

VALIDATED and APPROVED (**):

(CNO)

(DATE)

VALIDATED and APPROVED:

(JROC) (*)

(DATE)

[Note: Use for Final ORD Approval. N810 will attach this cover page]

(*) - CNO (N810) will assign serial number once validated and approved. For ACAT ID programs, CNO (N810) will insert JROC validation and approval date prior to issuance.

(**)- CNO validates and approves for Navy and for JROC when delegated.

ANNEX D - ACQUISITION PROGRAM BASELINES (APBs)/
APB DEVIATION REPORTING

References: (a) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96

1. Procedures

1.1 Baseline Preparation

Acquisition Program Baselines (APBs) shall include an endorsement signature from CNO (Resource Sponsor)/CMC (CG MCCDC) as shown in this instruction, enclosure (7), Appendix II, Annex D, page II-38. APBs for ACAT I and II programs shall be forwarded to ASN(RD&A) for DON approval after the required DON signatures have been obtained. For ACAT III and IV programs, the APB shall be forwarded to the appropriate MDA for DON approval. Additionally, the APB for ACAT I programs shall be provided to ASN(RD&A) on floppy disc in the Consolidated Acquisition Reporting System (CARS) format.

Changes to the APB shall be processed and approved in the form of an amended APB. OPNAV program deviation reporting processing procedures are provided in this instruction, enclosure (7), Appendix II, Annex D, pages II-39 and II-40.

1.2 OPNAV Processing Procedures

The diagram in this instruction, enclosure (7), Appendix II, Annex D, page II-41, visually depicts the OPNAV APB review process. The focal point for OPNAV review of the APB is the Requirements Officer (RO) who shall work with the PM during APB preparation. To facilitate the RO's task, the PM shall supply copies of the APB for review. Appendix II shows the OPNAV codes responsible for APB review. Expeditious review is needed. The RO and the PM shall attempt to resolve all OPNAV issues. The RO shall be responsible for OPNAV comments to the PM.

1.3 APB and ORD Coordination

For Navy programs, the PM shall provide a copy of the performance section of the draft APB to the Program Sponsor to support the ORD validation and approval process.

2. Responsibilities and Points of Contact

2.1 OPNAV Responsibilities

1. After preparation by the PM, the APB shall be forwarded to the Program Sponsor for OPNAV review and validation. CNO (N4), CNO (N6), CNO (N8), CNO (N091), and the Resource Sponsor shall review those parts of the APB under their cognizance.
2. Before signing the APB, the Program Sponsor shall first obtain CNO (N80) and CNO (N81) endorsements on the draft APB performance, cost, and schedule parameters to ensure consistency with Joint Mission Area Assessments, the Investment Balance Review (IBR), and affordability within the Planning Programming and Budgeting System (PPBS).
3. Following coordination with CNO (N80, N81) and appropriate OPNAV offices, the Program Sponsor (Flag Officer) shall sign the appropriate line of the cover sheet as an endorsement by the User Representative and forward it to ASN(RD&A) for ACAT I and II programs and to the SYSCOM/PEO/DRPM for ACAT III and IV programs.
4. The Program Sponsor (Flag Officer) shall endorse the APB prior to the milestone decision meeting for all ACAT programs.

2.2 OPNAV Points of Contact (POC)

In addition to the Program and Resource Sponsors, the following N-codes are POCs for the APB reviews depicted in enclosure (7), Appendix II, page II-41: CNO (N43, N6E, N801X, N810, N912).

ACQUISITION PROGRAM BASELINE FORMAT**CLASSIFICATION****ACQUISITION PROGRAM BASELINE AGREEMENT
PROGRAM XXX**

With the objective of enhancing program stability and controlling cost growth, we, the undersigned, approve (unless otherwise indicated) this baseline document. Our intent is that the program be managed within the programmatic, schedule, and financial constraints identified. We agree to support, within the charter and authority of our respective official positions, the required funding in the Planning, Programming, and Budgeting System (PPBS).

This baseline document is a summary and does not provide detailed program requirements or content. It does, however, contain key performance, schedule, and cost parameters that are the basis for satisfying an identified mission need. As long as the program is being managed within the framework established by this baseline, in-phase reviews will not be held.

| | | | |
|---|---------------|--|---------------|
| _____ Program Manager (All ACAT programs) | _____ Date | _____ CNO (Resource Sponsor)/ CMC (CG MCCDC) Endorsement (All ACAT programs) | _____ Date |
|---|---------------|--|---------------|

| | |
|---|---------------|
| _____ Program Executive Officer/SYSCOM/DRPM (All ACAT programs) | _____ Date |
|---|---------------|

| | |
|---|---------------|
| _____ DON Acquisition Executive (ACAT I & II programs) | _____ Date |
|---|---------------|

| | |
|--|---------------|
| _____ Under Secretary of Defense for Acquisition and Technology (ACAT ID programs) | _____ Date |
|--|---------------|

Derived from:
Declassify on:

CLASSIFICATION

APB DEVIATION REPORTING

3. Procedures

3.1 Program Deviation Criteria

Acquisition Program Baseline deviation criteria for ACATs II, III and IV are the same as for ACAT I and ACAT IA as stated in reference (a), paragraph 3.2.1, i.e., unless otherwise specified, the threshold value for performance shall be the same as the objective value; the threshold value for schedule shall be the objective value plus six months for ACAT II, III, and IV weapons system programs and three months for ACAT III and IV Information Resources (IR) programs; and the threshold value for cost shall be the objective value plus 10 percent.

3.2 Program Deviation Reporting

Whenever the Program Manager (PM) has determined that an Acquisition Program Baseline (APB) breach has occurred or will occur, the PM shall immediately notify the Milestone Decision Authority (MDA) through the chain of command. Within 30 days of the occurrence of an APB deviation for an ACAT program, the PM shall notify the MDA of the reason for the deviation and the actions that need to be taken to bring the program back within APB parameters (if this information was not included with the original APB deviation notification). See reference (a), Part 6, paragraph 6.2.1.1, for further guidance.

3.3 Revised Baseline Approval

If a program cannot be brought back within the current APB, the Program Manager shall prepare a revised draft APB, and obtain CNO (Resource Sponsor)/CMC (CG MCCDC) endorsement prior to forwarding the revised draft APB to the Program Executive Officer (PEO)/SYSCOM/DRPM. CNO (Resource Sponsor)/CMC (CG MCCDC) shall endorse an APB deviation notification (above the PEO/SYSCOM/DRPM signature line) such as, or similar to, the format shown in the Deskbook (DON Section), enclosure (7), Appendix II, Annex D, page II-11.

1. For Navy ACAT I and II programs:

a. Resource Sponsor shall review the APB deviation notification (via SCIP/ACIP, if appropriate) and commit to continued funding, if appropriate, by signing an OPNAV chop sheet for the APB deviation notification. CNO (N80) shall review the APB deviation notification and obtain CNO (N8) endorsement on it.

b. After CNO (N8) APB deviation notification endorsement, the Resource Sponsor shall endorse the revised draft APB.

c. See reference (a), Part 6, paragraph 6.2.1.1, for further guidance for ACAT I programs.

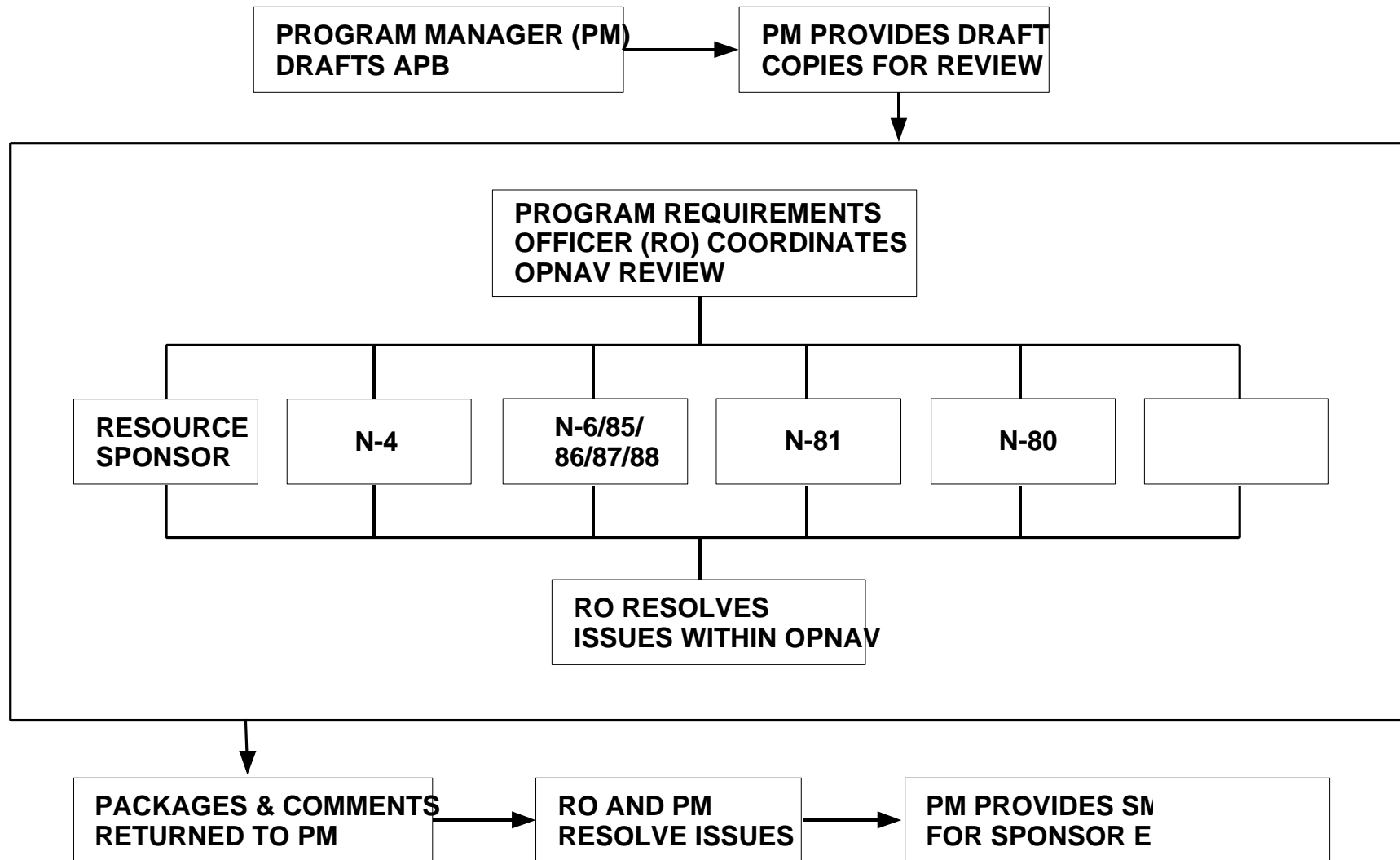
2. For Navy ACAT III and IV programs:

a. The Resource Sponsor shall review the APB deviation notification and the revised draft APB (via SCIP/ACIP, if appropriate), and commit to continued funding by signing the endorsement lines of the APB deviation notification and the revised draft APB.

CNO (Resource Sponsor)/CMC (CG MCCDC) endorsement of the APB deviation notification and the revised APB shall be expeditiously forwarded to the PEO/SYSCOM/DRPM and MDA, the approval authority.

Approved APB deviation notifications and APBs shall be maintained with the Acquisition Decision Memorandum. The funding associated with the revised APB shall be considered the new program funding. The revised draft APB shall be approved prior to obligating funds.

ACQUISITION PROGRAM BASELINE (APB) OPNAV PROCESSING PROCEDURES



ANNEX E - JROC Interface

1. Background

The JROC shall review all Navy and Marine Corps ACAT I programs as discussed below (all days listed are calendar days).

2. Navy Procedures

A Pre-JROC brief shall precede every JROC review scheduled by the Navy. In preparation for briefing the JROC, the procedures below shall be followed:

1. The VCNO shall request all scheduling of JROC briefs. In preparation for the briefing, the Program Sponsor shall request the review via CNO (N81).
2. CNO (N810) shall coordinate the scheduling of the program brief with the JROC secretariat and notify the Sponsor of the date assigned.
3. Twenty days before the Pre-JROC brief, the Program Sponsor's Action Officer (AO) shall pre-brief CNO (N81). If there are any contentious issues in the program, VCNO/CNO (N8) may require presentation and/or a talking paper to formalize a Navy position before the Pre-JROC brief.
4. Thirteen days before the scheduled JROC, the Sponsor's AO shall present a Pre-JROC brief chaired by Joint Chiefs of Staff (JCS) J-8. The Navy Point of Contact (NPOC) shall attend and assist the briefer.
5. When directed, the sponsor shall present two internal Navy pre-briefs for VCNO (and CNO (N3/5, N8, N81) on a case-by-case basis) between Pre-JROC and JROC meetings: a detailed strategy brief at least one week in advance and a presentation brief the day before JROC meets. The purpose of the "week before" brief is to ensure that VCNO concurs with the presentation strategy and major decisions; the "day before" brief focuses on outstanding issues. Before these pre-briefs, the Sponsor shall prepare a Talking Paper to outline the program and major issues and to recommend a Navy position.
6. JROC briefings scheduled for JROC by other Services shall be staffed internally within the Navy and briefed to the VCNO (and CNO (N8, N81) on a case-by-case basis) prior to the scheduled JROC brief.

3. Navy Responsibilities and Points of Contact

1. Primary JROC coordination responsibility within OPNAV resides with CNO (N8).
 - a. All JROC issues being staffed for the VCNO will be submitted through CNO (N8).
 - b. CNO (N810) serves as the NPOC to the JROC Secretariat and is the single coordination point of contact within the OPNAV staff for JROC matters.
2. CNO (N3/5) shall support the JROC secretariat as requested by the NPOC.
3. OPNAV Program Sponsors shall appoint a Subject Matter Expert (SME), normally the Requirements Officer (RO), to assist CNO (N810) in staffing joint issues.

4. Marine Corps Procedures

A Pre-JROC brief shall precede every JROC review scheduled by the Marine Corps. In preparation for briefing the JROC, the procedures below shall be followed:

1. No later than sixty days before the desired review date, the sponsoring agency/office of the program requiring JROC review will request the JROC review via the Deputy Chief of Staff for Programs and Resources (D/CS, P&R).
2. D/CS, P&R shall coordinate the scheduling of the JROC brief with the JROC Secretariat (and OPNAV, when appropriate) and notify the sponsoring agency/office of the date assigned.
3. The sponsoring agency presents a pre-brief to D/CS, P&R twenty-eight days before the scheduled JROC.
4. Normally, fourteen days before the JROC presentation, the sponsoring agency/office shall brief the Pre-JROC brief to JCS(J-8). Three days before the Pre-JROC, the briefer shall deliver copies of the brief to JCS (J-8) and discuss the brief with the USMC JROC point of contact, D/CS, P&R.
5. The sponsoring agency/office shall be prepared to present the JROC brief to the Assistant Commandant of the Marine Corps (ACMC) Committee after the Pre-JROC brief and no later than seven days before the JROC presentation. USMC positions, decisions or strategies shall be determined at the ACMC Committee brief.

6. Once briefed to the ACMC Committee, any changes to the JROC brief shall be approved by ACMC before JROC presentation. Copies of the JROC brief shall be delivered to JCS (J-8) no later than 72 hours before the JROC brief.
7. On the day before the JROC brief, a final ACMC pre-brief shall occur. All required information and formats are available from the USMC POC.
8. JROC briefings scheduled by other Services or Agencies are also staffed internally within the Marine Corps and are pre-briefed to ACMC and others, as appropriate. These pre-briefs shall be conducted by HQMC/MARCORSYSCOM SMEs on the day before the JROC. D/CS, P&R shall coordinate the designation of SMEs and provide briefing material formats.

5. USMC Responsibilities and Points of Contacts

1. Primary JROC coordination responsibility with HQMC/MCCDC/MARCORSYSCOM resides in D/CS, P&R.
 - a. All JROC issues to be staffed for the ACMC shall be submitted in accordance with the JROC charter through D/CS, P&R.
 - b. CMC (RPA-1) serves as USMC point of contact to the JROC Secretariat and is the single POC for JROC matters.
2. Sponsoring agencies/offices and other HQMC/MCCDC/MARCORSYSCOM offices shall designate SMEs to assist RPA-1 in staffing JROC issues as required. When directed, these agencies/offices will provide assistance to D/CS, P&R in preparing ACMC for participation in other JROC matters.

ANNEX F - IR PROGRAMS

(Unique IR program coordination procedures are TBD for this annex; until such procedures are established, IR programs shall follow the ASN(RD&A)/CNO/CMC coordination procedures of Appendix II, Annexes A through E and Annexes G and H)

ANNEX G - NON-ACQUISITION PROGRAM PROCEDURES**1. Management of Non-Acquisition Programs**

Non-acquisition programs shall be managed as follows:

1. All non-acquisition programs will be assessed annually by CNO (N091), as supported by the Science and Technology Requirements Committee (STRC) and/or by the Science and Technology Working Group (STWG). This review verifies that programs are progressing as directed and/or identifies the need for Non-Acquisition Program Definition Document (NAPDD) revision or cancellation. Reviews shall be conducted annually with results made available for subsequent POM development. STRC/STWG membership is provided in this instruction, enclosure (7), Appendix II, page II-51.
2. Technology base programs (basic research (6.1) and exploratory development (6.2)) do not require preparation of Non-Acquisition Program Definition Documents (NAPDDs), but shall continue using current documentation required to support the Planning, Programming and Budgeting System (PPBS).
3. A NAPDD shall be used to initiate and manage non-acquisition programs (6.3 - 6.7) such as those described in this instruction, enclosure (1), paragraph 1.3.6, costing more than \$200 thousand in any one year or more than \$1 million over the life of the effort (then-year dollars). All NAPDDs shall be submitted by CNO/CMC (Resource Sponsor/MARCORSYSCOM), endorsed by CNO (N8)/CMC (CG MCCDC), and approved by CNO (N091)/CMC (MARCORSYSCOM). This CNO/CMC approval constitutes commitment to the effort.
4. Navy requests to initiate a non-acquisition program (6.3 - 6.7) shall be submitted to a CNO/CMC Resource Sponsor by SYSCOMs, PEOs, DRPMs, or any other appropriate DON activity. Marine Corps requests to initiate a non-acquisition program shall be submitted to MARCORSYSCOM (AWT). Detailed NAPDD submission format is contained in this instruction, enclosure (7), Appendix II, page II-49. A NAPDD can be issued at any time; however, if a new start non-acquisition program (6.3 - 6.7) is to be included in the Program Objective Memorandum (POM) submission, the initiation guidance from CNO/CMC, or designee, shall be promulgated by the beginning of the fiscal year of the POM submission. NAPDDs for new start non-acquisition programs (6.3 - 6.7) shall be issued in

time for a summer CNO (N091)/STRC/STWG assessment. Non-acquisition programs which do not meet this schedule could require funding by reprogramming.

5. Deliverables from non-acquisition programs that transition into a related ACAT program shall be identified in an analysis of alternatives, an Operational Requirements Document (ORD), and an Acquisition Program Baseline (APB) for that ACAT program.
6. NAPDDs shall normally remain valid for a maximum of three years beginning with the initial funding year. After three years, a revised or revalidated NAPDD is required to continue the program. The revised NAPDD shall include justification for continuance beyond the initial three years validity period. The NAPDD shall contain estimated resources required to complete the effort and the deliverables that are required.

2. Responsibilities and Points of Contact

Specific OPNAV NAPDD submission responsibilities include the following:

1. Originating command shall:
 - a. Submits request or rough draft of proposed NAPDD to the applicable Program Sponsor.
2. Program Sponsor shall:
 - a. Ensure NAPDD is in proper format.
 - b. Route draft copies to the Resource Sponsor (when different), the applicable PEO/SYSCOM/DRPM (if not the originator), the Deputy Chief of Naval Operations (Resources, Warfare Requirements and Assessments) (CNO (N8)) via the Director, Assessment Division (CNO (N81)), and the Director of Test and Evaluation and Technology Requirements (CNO (N091)) for review and comment.
 - c. Consolidates and incorporates all comments received from the review, signs as the document preparer, and forwards to CNO (N8) via CNO (N81).
3. CNO (N8) shall:
 - a. Endorse and forward to CNO (N091).
4. CNO (N091) shall:

a. Review, assign a NAPDD number, and sign as final approval authority.

b. Establish the Science and Technology Requirements Committee (STRC)/Science and Technology Working Group (STWG) which shall conduct yearly assessments of non-acquisition programs (6.1 - 6.7) and associated NAPDDs to verify that the programs are progressing as directed and whether redirection or cancellation is required. Membership is contained in this instruction, enclosure (7), Appendix II, page II-51.

c. Maintain a database of all active NAPDDs and publish annually a consolidated list of current NAPDDs and their expiration dates.

The Marine Corps point of contact for non-acquisition programs and NAPDDs is MARCORSYSCOM (AWT).

NON-ACQUISITION PROGRAM DEFINITION DOCUMENT (NAPDD)
(FORMAT)

FOR

[GENERIC NAME]

[Limit length to a maximum of 3 pages]

1. Purpose/Intent of Effort. Include necessary background information to discuss shortcomings of existing technologies/equipments. Describe previously examined systems or concepts, including an assessment of international technology, relevant to the program under consideration. Briefly discuss the mission area/application in which the results of the non-acquisition program might be employed and the anticipated degree of enhancement.
2. Scope of Effort. Describe the nature and scope of the envisioned effort (e.g., advanced technology demonstrations of existing technologies/systems, refinement of emerging advanced technologies or advanced technologies, development of theoretical concepts, or concept evaluations (e.g., nondevelopmental items)).
3. Resource Summary. Provide planned RDT&E,N funding profile by year for each of the authorized years. While three years is normally the maximum period for a NAPDD, provide total out-year funding by fiscal year if additional effort is anticipated.
4. Deliverables. Describe the deliverables that are to be produced pursuant to authorized expenditure of funds (e.g., hardware or software demonstrations, concept evaluations, models, designs, reports, reviews, concept exploration and definition documentation, etc.). Specify delivery dates for each item by fiscal year and quarter.
5. Program Reviews. Require the submission of a Plan of Action and Milestones (POA&M) which describes the strategy for execution and completion of the effort. Provide an anticipated schedule for the submission of the POA&M and a schedule for NAPDD reviews.
6. Transition. Outline the plan for transition to an ACAT program. Identify resources, program sponsor, program element, and project to which an ATD would transition.

NON-ACQUISITION PROGRAM DEFINITION DOCUMENT (NAPDD)

FOR

[GENERIC NAME]

[NAPDD #_____ASSIGNED BY CNO (N091)/MARCORSYSCOM, UPON APPROVAL]

PE _____

Program _____

SUBMITTED:

CNO (Resource Sponsor)/MARCORSYSCOM
Typed Name

Date

ENDORSED:

CNO (N8)/CG MCCDC
Typed Name

Date

APPROVED:

CNO (N091)/MARCORSYSCOM
Typed Name

Date

SCIENCE AND TECHNOLOGY REQUIREMENTS COMMITTEE (STRC)/
SCIENCE AND TECHNOLOGY WORKING GROUP (STWG)
MEMBERSHIP

STRC MEMBERS:

CNO (N091) (CHAIR)

CNO (N911) (EXEC SECY)

CNO (N1, N2, N3/N5, N4, N6, N80, N81, N83, N85, N86, N87, N88,
N093, N096)

CMC (RP)

CNR

ASN(RD&A)

STWG MEMBERS:

CNO (N091) (CHAIR)

CNO (N911) (EXEC SECY)

CNO (N00K, N1, N2, N3/N5, N4, N6, N8, N80, N81, N83, N85, N86,
N87, N88, N093, N096)

COMNAVAIRSYSCOM

COMNAVSEASYSYSCOM

COMNAVSUPSYSCOM

COMSPAWARSYSCOM

PEO/DRPM (as appropriate)

CNR (TECHNOLOGY DIRECTORATE)

MARCORSYSCOM (AWT)

ARPA

ASN(RD&A)

ANNEX H-ACQUISITION CATEGORY DESIGNATION REQUEST (FORMAT)

SSIC
Orig Code
Date

MEMORANDUM FOR ASSISTANT SECRETARY OF THE NAVY (RESEARCH, DEVELOPMENT AND
ACQUISITION) (ATTN: PDASN(RD&A))^{1/} (ACAT I or II)
or PEO/SYSCOM COMMANDER/DRPM (ACAT III or IV)

Via: (1) Chief of Naval Operations (N8)/Commandant of the Marine Corps (CG MCCDC)
(as appropriate, only if ACAT IVM designation is requested)
(2) Commander, Operational Test and Evaluation Forces, or
Director, Marine Corps Operational Test and Evaluation
(as appropriate, only if ACAT IVM designation is requested)
(3) [Originator's chain of command, as appropriate]

Subj: ACQUISITION CATEGORY (ACAT) DESIGNATION REQUEST

1. Submission. The following information is submitted to support the subject ACAT designation request per SECNAVINST 5000.2B, enclosure (1), paragraph 1.3.6.
2. Acquisition Program Title. (Provide Short/Long Title)
3. Prospective Developing Activity
 - a. Claimant:
 - b. PEO/DRPM: [if applicable]
 - c. PM: [Code]
4. Prospective Funding (where known)
 - a. Appropriation (APPN): [Repeat for each appropriation]
 - (1) [Repeat for each Program Element (PE)/Line Item (LI)/Sub-project (SUB)]
 - Program Element (No./Title):
 - Project Number/Line Item (No./Title):
 - Sub-project/Line Item (No./Title):
 - Budget: [fiscal year 1990 constant dollars in millions]

| Current FY | Budget FY | FY | FY | FY | FY | FY | FY | To Complete | Total |
|---------------|--------------|----|----|----|----|----|----|----------------|-------|
| | | | | | | | | | |

5. Program Description. (Provide brief description of the program, including its mission)
6. Status of Program Documentation. (Provide the approval date for the MNS/ORD)
7. Prospective Test and Evaluation. (Briefly describe prospective test and evaluation effort. If Operational Evaluation (OPEVAL) is not planned, provide rationale.)
8. Recommended ACAT assignment

1/ PDASN(RD&A) will route to applicable DASN for chop.

ACQUISITION CATEGORY DESIGNATION
CHANGE REQUEST (FORMAT)

SSIC
Orig Code
Date

MEMORANDUM FOR ASSISTANT SECRETARY OF THE NAVY (RESEARCH, DEVELOPMENT AND
ACQUISITION) (ATTN: PDASN(RD&A))^{1/} (ACAT I or II)
or PEO/SYSCOM COMMANDER/DRPM (ACAT III or IV)

Via: (1) Chief of Naval Operations (N8)/Commandant of the Marine Corps (CG MCCDC)
(as appropriate, only if change to ACAT IVM is requested)
(2) Commander, Operational Test and Evaluation Forces, or
Director, Marine Corps Operational Test and Evaluation
(as appropriate, only if change to ACAT IVM is requested)
(3) [Originator's chain of command, as appropriate]

Subj: ACQUISITION CATEGORY (ACAT) DESIGNATION CHANGE REQUEST

1. Submission. The following information is submitted to support the subject ACAT designation change request from ACAT ____ to ACAT ____ per SECNAVINST 5000.2B, enclosure (1), paragraph 1.3.6.
2. Acquisition Program Title and Acquisition Program Data Base Accession Number
(Provide Short and Long Title)
3. Developing Activity
 - a. Claimant:
 - b. PEO/DRPM: [if applicable]
 - c. PM: [Code]
4. Funding
 - a. Appropriation (APPN): [Repeat for each appropriation]
 - (1) [Repeat for each Program Element (PE)/Line Item (LI)/Sub-project (SUB)]
 - Program Element (No./Title):
 - Project Number/Line Item (No./Title):
 - Sub-project/Line Item (No./Title):
 - Budget: [fiscal year 1990 constant dollars in millions]

| Prior Yrs | Current FY | Budget FY | FY | FY | FY | FY | FY | FY | To Complete | Total |
|--------------|---------------|--------------|----|----|----|----|----|----|----------------|-------|
| | | | | | | | | | | |

5. Program Description. (Provide short program description from the ASN(RD&A) data base)
6. Milestone Status

| | | | |
|--------------|---------------|----------------|---------------|
| <u>M/S I</u> | <u>M/S II</u> | <u>M/S III</u> | <u>M/S IV</u> |
| Date | Date | Date | Date |
7. Rationale for ACAT Designation Change. (If no OPEVAL, provide rationale)

Copy to: CNO or CMC, as appropriate

1/ PDASN(RD&A) will route to applicable DASN for chop.

Appendix III

Test and Evaluation

- References:
- (a) DOD 5000.3-M-4, "Joint T&E Procedures Manual," Aug 88
 - (b) MCO 5200.23A, "Management of Mission-Critical Computer Resources in the Marine Corps," 30 Dec 86
 - (c) Assistant Secretary of the Navy (Research, Development and Acquisition) memorandum, "Live Fire Test and Evaluation (LFT&E) of U.S. Navy Ships - Process Description," ?? Jun 93
 - (d) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96
 - (e) Joint Logistics Commanders Guidance for use of, "Evolutionary Acquisition Strategy To Acquire Weapon Systems," May 95
 - (f) SECNAVINST 5090.6, "Evaluation of Environmental Effects from Department of the Navy Actions," 26 Jul 91
 - (g) OPNAVINST 5090.1A, "Environmental and Natural Resources Protection Manual," 2 Oct 90

1. Test and Evaluation (T&E) Responsibilities and Points of Contact

1.1 Navy Responsibilities and Points of Contact

1. Chief of Naval Operations (CNO) (N091). Serves as the principal interface between CNO and Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)), on matters relating to T&E. Responsibilities include:
 - a. Acting for CNO in resolving T&E issues.
 - b. Establishing and issuing policy regarding conduct of operational T&E.
 - c. Coordinating T&E document preparation.
 - d. Providing principal liaison with Commander, Operational Test and Evaluation Force (COMOPTEVFOR) on operational test requirements and execution.
 - e. Acting for CNO's as the single point of contact for interface with DoD's Director, Operational Test and Evaluation

(DOT&E) for Test and Evaluation Master Plan (TEMP) and Test Plan coordination and approval.

f. Serving as the Office of the Chief of Naval Operations (OPNAV) point of contact with the Office of the Secretary of Defense (OSD) on joint service testing matters conducted in accordance with reference (a).

g. Coordinating Operational Test and Evaluation (OT&E) support for the United States Marine Corps (USMC).

2. Board of Inspection and Survey (INSURV). INSURV shall conduct acceptance trials and inspections of all ships and service craft prior to acceptance for naval service. For aircraft programs selected for INSURV oversight, INSURV shall:

a. Monitor all Developmental Test and Evaluation (DT&E) conducted by the Developing Activity (DA) and submit an independent technical assessment to CNO and the Secretary of the Navy (SECNAV) at each key milestone decision point.

b. Provide quarterly status updates to CNO.

c. When appropriate, submit independent reports of major problems to the CNO.

d. Submit an independent technical assessment of readiness for Operational Evaluation (OPEVAL) to CNO and COMOPTEVFOR. See this instruction, enclosure 3, paragraph 3.4, for further guidance.

e. Conduct INSURV Aircraft Trials. INSURV final phase DT-III Trials shall determine if military specifications of the contract have been satisfactorily fulfilled; evaluate engineering changes and corrections; verify the effectiveness of product improvement actions and the applicability of pre-production test results to the production aircraft weapon system. The DA shall fund INSURV DT-III testing.

3. COMOPTEVFOR. [TBD]

4. Test Planning Working Group (TPWG)/T&E Coordinating Group (TECG). TPWG and TECG policy, membership, and focus are provided in this instruction, enclosure (7), Appendix III, paragraph 2.

1.2 Marine Corps Responsibilities and Points of Contact

1. Commandant of the Marine Corps (CMC) and Headquarters Marine Corps Staff

a. CMC. T&E in the system acquisition process directly supports the CMC's responsibilities for ensuring the readiness and mission capability of the Fleet Marine Force (FMF). The CMC shall promulgate service policies, procedures, and requirements for Marine Corps Joint Test and Evaluation (JT&E).

b. Deputy Chief of Staff for Programs and Resources (DC/S(P&R)). Specific T&E responsibilities shall include:

- (1) Providing oversight of programming activities related to DT&E, Operational Test and Evaluation (OT&E), and JT&E.
- (2) Coordinating with the Commander, Marine Corps Systems Command (COMMARCORSSYSCOM) to ensure that budgetary and programmatic decisions support JT&E and the Marine Corps mission and budget.

c. Deputy Chief of Staff for Manpower and Reserve Affairs (DC/S M&RA). After consultation with COMMARCORSSYSCOM and the Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA), the DC/S M&RA shall:

- (1) Oversee manpower and personnel requirements for Marine Corps participation in JT&E.
- (2) Assign a Deputy Test Director (TD) for multi-service OT&E of ACAT I and designated ACAT II programs.
- (3) Assign a TD for OT&E of ACAT I and designated ACAT II programs.
- (4) Assign a Deputy TD for JT&E-approved programs after appropriate coordination.

d. Deputy Chief of Staff for Installations and Logistics (DC/S I&L). Specific T&E responsibilities shall include:

- (1) Acting as the focal point for interface with the Board of Operating Directors for Test and Evaluation (BoOD(T&E)).
- (2) Reviewing, assessing, and commenting on North Atlantic Treaty Organization (NATO) standardization agreements and other T&E matters dealing with Foreign Military Sales (FMS).

e. Director, Marine Corps Intelligence Center (MCIC). Provide COMMARCORSSYSCOM, Marine Corps Direct Reporting Program Managers (DRPMs), and Director, MCOTEA with a Test Threat Support

Package (TTSP) based on the latest System Threat Assessment (STA). The TTSP shall include all threat data required to support developmental and operational testing.

f. Commanding General, Marine Corps Combat Development Command (CG MCCDC). CG MCCDC shall:

- (1) Develop the Concept of Employment (COE) and Mission Essential Functions for proposed systems and interoperability and standards requirements for Operational Requirements Documents (ORDs).
- (2) In coordination with COMMARCORSYSCOM, the Marine Corps DRPMs, and Director, MCOTEA, shall provide a representative to assist in determining program Failure Definition (FD)/Scoring Criteria (SC) for each program under development and will provide a voting member for scoring conferences.

g. (COMMARCORSYSCOM). COMMARCORSYSCOM shall:

- (1) Budget for DT&E and OT&E.
- (2) Provide a Test Support Package (TSP) to the Director, MCOTEA, one year before scheduled Operational Test (OT) start. The TSP shall include program documentation prepared during the acquisition process which supports test planning and conduct. As a minimum, it shall include an ORD, a STA, a threat scenario, a MCCDC-approved Concept of Employment, program documentation addressing support and life-cycle management of hardware and computer resources and an organizational structure to include a Table of Organization and Table of Equipment. Upon request, COMMARCORSYSCOM shall provide software documentation per reference (b). The threat scenario must include a signed concurrence from MCIC.
- (3) Serve as the Marine Corps point of contact with OSD on matters relating to Live Fire Test and Evaluation (LFT&E) and on joint service testing matters in accordance with reference (a).
- (4) Consolidate and process quarterly requests for use of naval fleet assets in support of Research, Development, Test, and Evaluation (RDT&E) requirements.

- (5) Represent the Marine Corps in all Joint DT&E matters.
- (6) Exercise review and approval authority over TEMPs for all assigned programs and those multiservice programs.
- (7) Establish and chair a Test Integration Working Group (TIWG) for all assigned programs. See the Deskbook (DON Section) for additional information.
- (8) Certify that systems are safe and ready for DT&E and OT&E.
- (9) Manage the Marine Corps External Airlift Transportation (EAT) Certification Program.
- (10) Manage the Marine Corps Foreign Comparative Test Program.

h. Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA). The Director, MCOTEA shall ensure that the OT of all Acquisition Category (ACAT) I, II, III, and IVT programs is effectively planned, conducted, evaluated, and reported.:

- (1) Coordinate the scheduling of resources for OT requiring FMF support through the Five Year Master Test Plan (FYMTP) published annually with quarterly updates.
- (2) Host and chair a TIWG for determining FD/SC for each program. See the Deskbook for further guidance.
- (3) Prepare Part IV of the TEMP.
- (4) Request from CMC the assignment of a TD for ACAT I and certain ACAT II programs.
- (5) Task the FMF and other commands in matters related to OT&E by publishing a Test Planning Document (TPD).
- (6) When significant test limitations are identified, advise the Milestone Decision Authority (MDA) of risk associated in the procurement decision.
- (7) Manage those OSD directed multiservice OT&E's for which the Marine Corps is tasked.

- (8) Chair and conduct an Operational Test Readiness Review (OTRR) for determining a program's readiness to proceed with OT&E. See the Deskbook (DON Section) for further guidance.
- (9) Prepare and provide directly to the CMC, within 120 days after completion of OT&E, an Independent Evaluation Report (IER) for all OT&E.
- (10) Coordinate Marine Corps support for other military services' OT&Es.
- (11) Advise the BoOD(T&E) on OT&E matters.
- (12) Chair an annual OT&E planning conference. The conference shall have representation from the FMF, appropriate HQMC staff offices, MCCDC, MARCORSYSCOM and others as appropriate.
- (13) Maintain direct liaison with Director, DT&E, the FMF for OT&E matters, and other military activities and commands as required.

i. FMF. The Commanding Generals, Fleet Marine Force Pacific (FMFPac) and Fleet Marine Force Atlantic (FMFLant) shall each:

- (1) Designate a test coordinator as a focal point for all T&E matters.
- (2) Support MCOTEA in the T&E of new concepts, equipment, and systems.
- (3) Provide a TD who will write the OT report and submit it to MCOTEA via the CG of the appropriate FMF within 30 days of completion of OT&E for an ACAT II, III, or IV program.
- (4) Provide personnel and equipment to participate in JT&E programs as required.

2. Test Planning

2.1 TPWG

TPWGs provide the forum for the discussion, coordination, and resolution of test planning goals and issues. Examples of TPWG meeting topics are listed in the Deskbook (DON Section), enclosure (7), Appendix III. The following are activities for establishing a TPWG:

1. The TPWG shall be chaired by the Program Manager (PM) or designated representative (Military O-6/O-5 or civilian equivalent).
2. The recommended TPWG membership should include the Requirements Officer (RO), the T&E Coordinator (CNO (N912)), COMOPTEVFOR staff, program office DT&E representatives, Systems Command (SYSCOM) T&E Division representatives, ASN(RD&A) staff, and contractors, as applicable, and joint service representatives and OSD personnel.
3. The frequency of TPWG meetings shall be established by the PM and meeting minutes are published.

2.2 Test and Evaluation Coordination Group (TECG).

When T&E issues arise that cannot be resolved between the applicable commands or when extensive T&E coordination is required, a TECG shall be convened. A TECG may also be used to implement urgent required changes to the TEMP. When used for urgent TEMP changes either a page change shall be issued or the formal report of the TECG shall be attached to the TEMP as an annex until the next required update or revision.

1. TECGs shall be convened by CNO (N912) via formal correspondence. TECG membership shall include:
 - a. CNO (N912) Division Director - Chair.
 - b. Applicable CNO (N912) T&E Coordinator - Co-chair.
 - c. RO.
 - d. PM.
 - e. OPTEVFOR Assistant Chief of Staff (ACOS) or Deputy ACOS (DACOS) (for the particular warfare specialty).
 - f. Operational TD (or designated representative).
 - g. Applicable ASN(RD&A) staff representative.
 - h. Others as appropriate.
2. The results of the TECG shall be reported in formal correspondence to all attendees.
3. The National Security Agency (NSA) has primary responsibility for developing and testing Consolidated Cryptologic Program (CCP) systems. A CCP TECG shall be

used to identify Navy-unique effectiveness and suitability issues for emergency CCP Programs; develop a coordinated Navy position on cryptologic T&E issues; and determine the extent of Navy participation in multiservice testing. A CCP TECG may also be used to resolve issues relating to assignment or cancellation of CCP T&E Identification Numbers (TEIN).

2.3 Test Integration Working Group (TIWG)

TIWG is established to effect Marine Corps T&E coordination. The procedures and membership are in the Deskbook (DON Section), enclosure (7), Appendix III.

3. Navy General Test & Evaluation Procedures

3.1 Developmental Test and Evaluation (DT&E)

DT&E shall be conducted in three major phases. The specific objectives of each phase shall be developed by the DA and outlined in the TEMP. Use of properly validated modeling and simulation techniques to assess areas in which testing is not yet possible or practical, as well as establishment and implementation of software development metrics, is encouraged. Specific descriptions of developmental testing phases are in the Deskbook (DON Section), enclosure (7), Appendix III, and should be referenced for additional information.

3.1.1 DT-I

DT-I is conducted during Program Definition and Risk Reduction to support Milestone II.

3.1.2 DT-II

DT-II is conducted during Engineering and Manufacturing Development (EMD) to support the Milestone III decision (transition to production) and shall include as a minimum:

1. The effects of volatile materials and insensitive munitions.
2. The total spectrum of electromagnetic environmental effects, including: Electromagnetic Compatibility (EMC), Electromagnetic Interference (EMI), Electronic Countermeasures (ECM), Electronic CounterCountermeasures (ECCM), Electromagnetic Vulnerability (EMV), Hazards of Electromagnetic Radiation to Ordnance and fuel (HERO), and Hazards of electromagnetic Radiation (RADHAZ) to personnel.

3. The effectiveness and supportability of any built-in diagnostics.

At Milestone II, COMOPTEVFOR and the DA shall determine what constitutes production representative hardware and what degree of software maturity is necessary for Technical Evaluation (TECHEVAL) data to be used in support of OT&E. Software to be used for OPEVAL shall be that software intended for fleet use at Initial Operational Capability (IOC) of a system and will be validated during TECHEVAL. CNO (N091) shall arbitrate issues regarding production and fleet representative hardware and level of software development either by directive or by a decision subsequent to convening a TECG.

3.1.3 DT-III

DT-III is conducted during Production, Fielding/Deployment, and Operational Support.

1. Production Acceptance Test and Evaluation (PAT&E) shall be the responsibility of the DA. PAT&E objectives, excluding factory inspections and certifications, shall be outlined in the TEMP.
2. For aircraft and selected aviation system acquisition programs, the final phase of DT-III shall be conducted by the INSURV.

3.1.4 DT&E Schedules

The DA shall provide COMOPTEVFOR with schedules of DT&E activities, program and system documentation (in draft form if necessary), and access to DT&E activities.

3.1.5 DT&E Test Data

All relevant DT&E data shall be made available to keep all agencies apprised of program test results.

3.1.6 DT&E/OT&E Interface

During combined DT AND OT it may be necessary for a dedicated period of OT. This dedicated period, generally near the end of combined testing, is necessary for COMOPTEVFOR to evaluate system performance in as operationally representative environment as possible. COMOPTEVFOR shall participate in DT&E planning, monitor DT&E, assess relevant OT&E issues, and provide feedback to the DA. The Acquisition Coordination Team (ACT) is encouraged to facilitate this planning process. Specific conditions and responsibilities, including the sharing of test data, shall be outlined via a Memorandum of Agreement (MOA) between the DA and COMOPTEVFOR. The

MOA must address the statutory limitations on contractor involvement in operational testing. TECHEVAL and OPEVAL shall not be combined.

3.1.7 Operator and Maintenance Training

The DA shall provide system operator and maintenance training for the OTD and members of the operational test team (including crew members). Scheduling of this training shall be coordinated between OPTEVFOR and the DA.

3.1.8 LFT&E

LFT&E shall be addressed in Part III of the TEMP. CNO (N091) is designated as the Navy LFT&E primary point of contact.

3.1.8.1 LFT&E of High Value Platforms

The DA for an exempted program shall implement reference (c) in order to comply with the LFT&E statute 10 USC 2366.

3.1.8.2 LFT&E of Ships

For ships, the qualification of the survivability baseline is conducted during construction and shakedown. During construction, tests and inspections confirm the achievement of compliance with the requirements of the shipbuilding specification in the areas of shock hardening, air blast hardening, fire containment, damage control features, structural hardening and Chemical, Biological and Radiological (CBR) protection. During the 1 year shakedown period following delivery of the lead ship of a class, a full-ship shock trial shall be conducted to identify any unknown weakness in the ability of the ship to withstand specified levels of shock from underwater explosions.

3.1.8.3 LFT&E Reporting Requirements

To satisfy reporting requirements, the DA shall prepare a report of LFT&E to be submitted to DOT&E, via CNO (N091), in time to allow OSD 45 days to prepare an independent report and submit it to Congress prior to the program proceeding beyond LRIP. Waivers to this reporting requirement shall be considered on a case-by-case basis. If a waiver is required, the request shall normally be submitted prior to Milestone II to DOT&E via the Program Sponsor, CNO (N091), and the Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)). CNO (N091), as the OPNAV LFT&E focal point, shall be apprised of problems when specific programs are unable to meet the provisions of reference (d) and this instruction and shall be kept informed of the LFT&E program progress and execution.

3.2 Operational Test and Evaluation (OT&E)

OT&E is subdivided into Initial OT&E (IOT&E) and Follow-on OT&E (FOT&E). For each program, Critical Operational Issues (COIs) shall be developed by OPTEVFOR and published in Part IV of the TEMP. The COIs are linked to CNO requirements established in the ORD. The phases listed below shall be tailored through further sub-division, as required.

3.2.1 IOT&E

IOT&E is all OT&E up to and including the completion of OPEVAL.

3.2.1.1 Operational Assessments (OAs)

When the maturity of a system will not support a full operational test, an OA may be conducted. OAs can be made at any time using technology demonstrators, prototypes, mockups, or simulations, but will not substitute for the independent OT&E necessary to support full production decisions. OAs can be used to support a Low-Rate Initial Production (LRIP) decision and are included in Part IV of the TEMP. For programs that have OSD oversight and acquisition is planned, the OA Plans shall be briefed by appropriate OPTEVFOR staff and formally approved by DOT&E.

3.2.1.2 OT-I

OT-I tests shall employ advanced development models, prototypes, brass-boards, or surrogate systems. OT-I shall be conducted, when appropriate, for ACAT I programs. OT-I shall be conducted, when appropriate, for ACAT II and other programs receiving DOT&E oversight.

3.2.1.3 OT-II

In most programs at least one complete phase of OT&E is a prerequisite to startup of the production line. The Milestone Decision Authority (MDA) shall determine if OT&E is required prior to start-up of the production line. If there are two or more phases of OT-II, the final phase of OT-II is a formal OPEVAL. OPEVAL shall include a recommendation for fleet introduction and is a prerequisite for Beyond LRIP (BLRIP) approval.

3.2.1.4 OPEVAL

Equipment/software introduced into the tested system for OPEVAL or FOT&E shall be production representative. See this instruction, enclosure (7), Appendix III, paragraph 3.1.2, for software OPEVAL requirements. The level of system development shall be documented in the TEMP Parts III and IV. OPEVAL shall commence upon the DA's certification of readiness for operational testing unless otherwise directed by CNO (N091) or if waivers are required

(see this instruction, enclosure (3)). OPEVAL shall not begin earlier than 1 month after completion of TECHEVAL to allow for receipt and consideration of the TECHEVAL results by CNO (N091) and COMOPTEVFOR. The time allotted between completion of OPEVAL and the Milestone III decision must allow 90 days for preparation of the evaluation report by COMOPTEVFOR plus any additional time required by the DA to plan for discrepancy correction. Requests for earlier reporting shall be made to CNO (N091) and shall be considered on a case-by-case basis. If production or fleet introduction is not approved at Milestone III, subsequent T&E shall be identified as further phases of DT-II and OT-II. If the system is approved for acquisition of additional LRIP quantities because significant deficiencies remain, CNO may schedule an "OPEVAL Phase II", rather than retest during FOT&E.

3.2.2 FOT&E

FOT&E is all OT&E after the final phase of OPEVAL.

3.2.2.1 OT-III

OT-III shall be conducted, if appropriate, to evaluate correction of deficiencies in production systems, to complete deferred or incomplete IOT&E, to assess Operational Availability (Ao), and to continue tactics development.

3.2.2.2 OT-IV

OT-IV shall be scheduled and conducted to evaluate operational effectiveness and suitability for every program in which production models have not undergone previous OT&E.

3.2.3 OT Resource Requirements

COMOPTEVFOR shall advise the DA of OT&E resource requirements and maintain continuous close liaison with the DA over the life of the program. CNO (N091) shall resolve issues when there is a disagreement between the DA and COMOPTEVFOR.

3.2.4 Operational Test Data

COMOPTEVFOR shall provide operational test data to the DA and others with issuance of the final test report. The exceptions to this policy are anomaly reports and deficiency reports which are explained in this instruction, enclosure (3).

3.2.5 Combined DT&E/OT&E

See this instruction, enclosure (3), paragraph 3.4.2, and enclosure (7), paragraph 3.1.6.

3.3 Software Qualification Testing (SQT)

Post Milestone III software testing, which is solely intended for a fleet release recommendation, shall be conducted by COMOPTEVFOR as SQT. SQT applies to software modifications of limited scope, as determined by CNO (N091), such as aircraft and weapons systems Operational Flight Programs (OFPs) and other systems in which software provides a similar function. When a program is approved for SQT, CNO (N091) shall assign a TEIN and a SQT TEMP shall be written using the title page format of this instruction, enclosure (7), Appendix III, page III-28. For SQT, a Statement of Functionality prepared by the DA and approved by the Program Sponsor shall be used to develop the SQT TEMP.

1. Software Release to the Fleet for Existing Hardware Platforms. There is no need to re-evaluate hardware reliability, maintainability, availability, and logistics supportability for new software releases for existing hardware platforms.
2. Software Release to the Fleet for New Hardware Platforms. An Operational Evaluation (OPEVAL) would still be required for Full Fleet Release (FFR) of existing software ported to a new hardware platform.

3.3.1 Statement of Functionality

The PM shall forward a Statement of Functionality to COMOPTEVFOR, via the Program Sponsor, copy to CNO (N912). The Program Sponsor's endorsement will serve as validation of software requirements for that intended release. The statement of functionality shall define:

1. New capabilities of the improved software.
2. Corrections to previous deficiencies that the new software is intended to correct.
3. Any capabilities that were deleted.
4. Description of the breadth and depth of regression testing conducted.
5. Specific operational requirement(s) the new software will address.

3.4 TEMP

For all programs requiring OT&E, the TEMP is the controlling T&E management document. The TEMP shall be constructed in accordance with the reference (d), Appendix III.

3.5 Land Based Test Sites (LBTS)

Use of these facilities during the early stages of development is encouraged. COMOPTEVFOR shall advise CNO (N091) on the adequacy of the LBTS for the conduct of OT&E. Use of a LBTS for operational testing shall be approved by CNO (N091). The following are not considered LBTSs:

1. Test facilities used to develop individual equipments, subsystems, or software.
2. Ships and aircraft used as test beds.
3. General purpose engineering or test facilities.

3.6 Special T&E Considerations

3.6.1 T&E of Ships

CNO (N091) shall determine when a new ship requires full ship OT&E. DT&E and IOT&E prior to Milestone II shall normally address T&E of individual new or modified shipboard systems. T&E on individual weapon systems as well as T&E at LBTSs shall be a primary focus during testing. For prototype or lead ship acquisition programs, T&E shall be conducted on the prototype or lead LRIP ship as well as on individual systems.

3.6.2 T&E of Space Systems

Since prototype satellites are often launched as an operational satellite, T&E for space systems emphasizes DT&E. Once in orbit, any test of the satellite is also a test of the ground links and other peripheral equipment. For very large systems, nonflying qualification models may be built for DT&E, and are often used as the core of LBTSs to develop the earth terminals.

3.6.3 T&E of Modifications

The recommendations of COMOPTEVFOR, the DA, the CNO Resource and Program Sponsor(s), and INSURV (where applicable) shall be considered by CNO (N091) in determining the scope of testing.

3.6.4 T&E of Computer Resources

Computer resources testing shall be documented in the program TEMP. Planning, programming, and budgeting of computer resources T&E shall be within the context of overall system development. The DA shall provide COMOPTEVFOR any program plans relating to computer resource T&E considerations.

Standard Embedded Computer Resources (SECR) are computer resources acquired as a standard commodity for use in other systems. Consequently, the use of SECR in DON is no longer required in new systems, but shall be supported in deployed systems and systems currently being procured with SECR. For those host systems still using SECR, the T&E procedures of this paragraph shall be followed. SECR does not include application software and SECR operational effectiveness and suitability are inseparable from the host system. OT&E of SECR on a stand-alone basis is not appropriate. Initial SECR acquisition shall include a complete DT&E program ending with a TECHEVAL, which shall be conducted on a production representative system in an operational environment. The results of these tests shall provide the basis for SECR LRIP decisions. OPTEVFOR shall participate in SECR DT&E and provide assessments, as appropriate, to the CNO and the MDA. The specific role of OPTEVFOR in DT&E shall be established in the SECR TEMP.

3.6.5 T&E of Non-Developmental Items/Commercial Off-The-Shelf (NDI/COTS)

Prior to an NDI/COTS acquisition decision, the DA with the assistance of COMOPTEVFOR shall assess the adequacy of any previously conducted DT&E, OT&E, contractor or other source data and provide recommendations to CNO (N091) on the need for additional T&E requirements. When the procurement of a system developed or tested by a non-DON DA is being planned, a Memorandum of Understanding (MOU) between the activities involved will address the acceptance of prior T&E results. If additional T&E is required, the DA shall request initiation of a T&E program through TEIN assignment.

3.6.6 T&E of Warfare Systems

T&E of acquisition programs designated as Warfare Systems shall include testing to demonstrate that specifications and standards identified by the Space and Naval Warfare Systems Command (SPAWARSYSCOM) Warfare Systems Architect (WSA) and Warfare Systems Engineer (WSE) have been met.

3.6.7 OPTEVFOR Tactics Guides

COMOPTEVFOR shall issue a "Tactics Guide" for systems whenever the information gained in OT&E and by other means is useful to ship and aircraft commands and commands charged with subsequent tactics development.

3.6.8 Extension of Application

An Extension of Application eliminates the requirement for OPEVAL by COMOPTEVFOR for the common system, subsystem or equipment. Concurrence of the suitability of Extension of Application shall be obtained via COMOPTEVFOR. Extension of Application does not

eliminate the need to obtain fleet introduction approval from the Program Sponsor. A period of FOT&E shall be considered to verify that integration of the system, subsystem, or equipment into the host platform has not degraded performance. Following FOT&E, the Program Sponsor shall determine if full fleet introduction or installation is appropriate.

3.6.9 T&E of Evolutionary Acquisition (EA) Systems

References (d), (e), and this instruction are the primary guides for developing an EA strategy. Operational testing requirements for EA programs may preclude updating the TEMP in a timely manner. For EA programs, the initial TEMP shall comply with reference (d), Appendix III. DT&E and OT&E shall concentrate on the T&E required for the basic core and the first increment. TEMP annexes shall be used for all subsequent increment testing. The specific format for the annexes shall be coordinated with CNO (N912). The program ORD shall reflect the changes to system requirements prior to TEMP update or revision. A phased OPEVAL approach shall be considered to support an EA strategy. FOT&E or SQT shall be considered between increments when software releases require testing by COMOPTEVFOR.

3.6.10 T&E of Software

Software shall be operationally tested in the system in which the software application is installed or implemented when fielded. The software to be used for OPEVAL and FOT&E shall be the software intended for fleet use. Software improvements shall be reflected in sequential releases. Software releases shall fall into three categories: major, minor, or maintenance. CNO (N091) shall resolve issues on the category of a software release as it relates to T&E.

3.6.10.1 Major Releases

Major releases shall require operational testing by COMOPTEVFOR. Such releases involve a change that adds new functions or warfare capabilities, interfaces with a different weapon system, redesigns the software architecture or rewrites the software in a different language.

3.6.10.2 Minor Releases

Minor releases are improvements that do not add any significant functions or interfaces and shall be tested by COMOPTEVFOR if requested by the PM and approved by CNO (N091).

3.6.10.3 Maintenance Releases

Maintenance releases are "fixes" for minor problems and shall not require testing by COMOPTEVFOR prior to release.

3.6.11 Verification of Corrected Deficiencies In Previous OT

This evaluation shall apply to only those COIs that have been corrected and the evaluation shall not require end-to-end testing of the complete system. The DA shall submit retesting requests to CNO (N091) with an info copy to COMOPTEVFOR.

3.6.12 Modeling and Simulation (M&S)

M&S refers to computer-based modeling and simulation, hardware-in-the-loop hybrid simulators, and person-in-the-loop hybrid simulators. OT&E shall not be based exclusively on computer modeling. An independent verification, validation, and accreditation process with supporting documentation shall be required to validate the model. COMOPTEVFOR shall accredit all models used to supplement operational testing. Operational testers shall be involved early in M&S planning to develop test scenarios and define test range, target, threat, and test article requirements for incorporation in the TEMP. Examples of when M&S may be used include:

1. To assess the adequacy of future test plans.
2. To assess performance against threats for which there currently is no suitable target.
3. To adequately test complex systems in dense combat environments.

3.6.13 Quick Reaction Assessment (QRA)

When operational necessity dictates, it may be required to modify the established operational testing process to rapidly achieve a rapid capability in the fleet (see related Rapid Deployment Capability (RDC) process in this instruction, enclosure (1), paragraph 1.9). In such cases, the Program Sponsor may obtain a quick COMOPTEVFOR assessment of operational considerations and system capabilities. If such an assessment is desired the Program Sponsor shall request a QRA from CNO (N091), info COMOPTEVFOR. When approved, COMOPTEVFOR shall conduct the assessment and issue a report as soon as possible with interim information if needed. A QRA shall be used by COMOPTEVFOR to assess operational effectiveness and suitability. The following information shall be included in the QRA request:

1. The purpose of the assessment and specifically, what questions the Program Sponsor wants answered.
2. The length of time available for the assessment.
3. The funding available for the assessment.

3.6.14 Joint Interoperability

For programs requiring joint interoperability, joint interoperability COIs shall be used to address effectiveness during operational testing. Joint interoperability requirements shall be addressed in the ORD. When joint interoperability is not addressed in the ORD, the ORD shall be updated for all milestones to include joint interoperability requirements for the system, or a memorandum shall be issued by CNO (N8) which explicitly states that "no joint interoperability requirements exist". For SQT, the Statement of Functionality shall be used to state joint interoperability requirement.

3.6.15 Environmental Protection

Testing shall be planned to ensure that NEPA policies are followed. References (f) and (g) shall be used to ensure that test planning, resource allocation, site selection and execution are performed in a manner that minimizes impact on the environment. Requirements for special environmentally compliant facilities, tools, and methods shall be identified early by the DA and COMOPTEVFOR to allow for funding and development. The results of these requirements shall be outlined in the Environmental, Safety, and Health Analysis and those aspects which directly affect testing shall be addressed in the TEMP as limitations or conditions of the testing.

3.7 RDT&E Support

RDT&E Support is the support provided by operational forces to the DA, COMOPTEVFOR, INSURV or an R&D agency, for the accomplishment of T&E. RDT&E support shall not be provided except under the provisions of this instruction.

3.7.1 Levels of Support

Three levels of RDT&E support are as follows:

1. Dedicated support - precludes employment of the supporting unit(s) in other missions.
2. Concurrent support - permits employment of the supporting unit(s) in activities other than RDT&E support, but could have an operational impact upon unit employment.
3. Not-to-interfere basis (NIB) support - permits RDT&E operational employment of the supporting unit(s) without significant interference with primary mission accomplishment.

3.7.2 RDT&E Support Approval

CNO (N091) shall approve RDT&E support requirements from two inputs:

1. Updated quarterly DT&E service requests from Program Executive Officers (PEOs)/SYSCOMs/DRPMs based on requirements established in TEMPs, Non-Acquisition Program Definition Documents (NAPDDs), or other test documentation.
2. Updated quarterly OT&E requests from COMOPTEVFOR.

3.7.3 Requests for RDT&E Support

RDT&E support requirements shall be submitted to CNO (N912), with a copy to COMOPTEVFOR, and shall be updated on a quarterly basis beginning 9 months prior to the quarter in which services are needed (See Deskbook (DON Section), enclosure (7), Appendix IX, for formats). This ensures requirements are addressed at fleet employment scheduling conferences. CNO (N912) shall be notified immediately of any support cancellations.

3.7.4 Unscheduled RDT&E Support Requirements

RDT&E support requests received after the 9-month deadline (paragraph 3.7.3) shall be postponed to the following quarter unless the urgency is justified in writing by the Program Sponsor and submitted to CNO (N091). Unscheduled RDT&E support requirements shall be submitted by message to CNO (N912) and the Program/Resource Sponsor with info copies to the Fleet Commanders in Chief (FLTCINC) and commands involved.

3.7.5 Fleet Support Priorities

The determining factor in assigning priorities shall be the urgency of maintaining the RDT&E schedule. CNO (N091) shall assign a fleet support priority, as defined below, each quarter to all RDT&E support programs in the CNO Quarterly RDT&E Support Requirements.

1. Priority ONE - support takes precedence over normal fleet operations. RDT&E support requiring the degree of urgency to assign a Priority ONE shall be requested in writing by the Program Sponsor, without delegation. This request should contain justifying information including: the next milestone and its date, the decision forum, the impact should the milestone slip, and the date of the latest approved TEMP.

2. Priority TWO - support takes precedence within normal fleet operations.
3. Priority THREE - normal fleet operations take precedence over support.

3.7.6 RDT&E Support Scheduling

COMOPTEVFOR shall coordinate RDT&E support scheduling for CNO.

3.7.7 Conduct of At-Sea OT&E

The Operational Test Coordinator (OTC), or designated representative, shall be responsible for the conduct of at-sea OT&E. The DA shall be responsible for the conduct of at-sea DT&E. They shall be guided by the priorities established in paragraph 3.7.5 of this appendix.

3.8 T&E Funding Responsibility

3.8.1 Developing Activity (DA) Responsibilities

The DA shall plan, program, budget, and fund the costs of all resources identified in the approved TEMP except as noted below. Operating costs for VX squadrons for RDT&E and FOT&E will be provided on a reimbursable basis by the DA. Funds for OT&E shall be transferred to COMOPTEVFOR for distribution as required. The DA shall not be required to fund:

1. Fleet operating costs for RDT&E support,
2. Fleet travel for training,
3. Non-program related OPTEVFOR travel and administrative costs, and
4. Non-program related INSURV travel and administrative costs.

3.8.2 FLTCINC Responsibilities

FLTCINCs shall plan, program, budget, and fund fleet travel for training, operating costs for RDT&E support provided by fleet units, and all costs of OT-IV except procurement costs of the systems tested and OPTEVFOR costs.

3.8.3 INSURV Responsibilities

INSURV shall plan, program, budget, and fund INSURV travel costs and costs not related to programs under test.

3.8.4 Non-Acquisition Programs

Responsibilities for T&E costs for non-acquisition programs are the same as those above. The R&D agency has responsibilities equivalent to those of the DA.

3.8.5 Waivers

Waivers of these funding requirements shall be requested, when necessary, from CNO (N82) (see this instruction, enclosure (1), paragraph 1.3.6).

3.9 T&E Identification Number (TEIN)

3.9.1 TEIN Assignment

CNO (N091) shall assign a TEIN to each DA's program. The recommended format for a TEIN request is provided in the Deskbook. Requests shall be forwarded via the Program Sponsor. These numbers shall be assigned for the life of the program. Six types of programs shall be identified:

1. ACAT programs.
2. Tactics programs (Code "T").
3. Software Qualification Programs (Code "S").
4. OSD-Directed Joint T&E programs (Code "J").
5. Non-acquisition programs (Code "K").
6. Foreign Comparative Testing (FCT) programs (Code "F"), only when fleet services will be required to support testing.

3.9.2 Required Documentation

TEINs shall not be assigned to programs that do not have approved documentation. Minimum documentation requirements are:

1. An approved ORD for ACAT programs.
2. A NAPDD for Non-Acquisition programs (when required by this instruction).
3. Documentation as discussed in this instruction, enclosure (1), paragraph 1.3.6, for technology based programs.
4. Designation as a Software Qualification Program.

By endorsement the Program Sponsor shall ensure the request for TEIN assignment is supported by a valid ORD, NAPDD or RDC.

3.9.3 Program Groups

TEIN numbers shall be structured for generic project groups and subprojects. Generic project groups shall be consolidated by identifying the basic project and functionally related sub-project. If the project for which a TEIN is being requested is a sub-project of an existing project group, it shall be stated including the generic project number. Likewise multiple TEINs may be requested in a single letter.

3.9.4 Consolidated Cryptologic Programs (CCP)

Assignment of Consolidated Cryptologic Programs (CCP) TEINs shall be in accordance with the following procedures:

1. Commander Naval Security Group (COMNAVSECGRU) shall review draft Project Baseline Summary One (PBS-I) on new CCP programs.
2. If COMNAVSECGRU determines that the system has significant and continuous Navy tactical implications, the PBS-I will be sent to COMOPTEVFOR for review.
3. If COMOPTEVFOR concurs, COMNAVSECGRU shall include the requirement for Navy operational testing in PBS-I comments to the National Security Agency and forward a recommendation for TEIN assignment to CNO (N912).

3.9.5 Inactive TEINs

CNO (N912) shall, with DA and Program Sponsor review, cancel TEINs which have been inactive in excess of one year and/or require no further testing.

TEST AND EVALUATION MASTER PLAN PROCEDURES

References: (a) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96

1. TEMP Processing and Cover Sheets

The instruction, enclosure (7), Appendix III, pages III-24 through III-27 contains the Navy TEMP cover sheet formats for ACAT I, II, III, and IV programs.

The OPNAV implementation procedures for preparing, endorsing, and approving Navy TEMPs are described in the following paragraphs.

2. TEMP Timing

Final TEMP approval should occur at least 30 days prior to the applicable testing or the next milestone. Accordingly, the DA should allow 30 days for COMOPTEVFOR and OPNAV to review the draft and 30 days to incorporate review comments and to route the TEMP for signatures.

For OSD oversight TEMPs, a draft TEMP shall be submitted to OSD at least 45 days prior and a Navy-approved smooth TEMP 10 days (for final signature review) prior to the next milestone event.

3. TEMP Drafting/Submitting

The DA drafts the TEMP with RO and COMOPTEVFOR participation. COMOPTEVFOR is responsible for drafting Part I, paragraph c; Part IV; and inputs to applicable sections of Part V. Part IV of the TEMP may not be changed without COMOPTEVFOR concurrence. The entire draft TEMP is sent to CNO (N912) for OPNAV review (ACAT I, II, and III). ACAT IVT draft TEMPs are sent to the applicable Program Sponsor and COMOPTEVFOR for review and/or endorsement.

1. Requirements developed in the analysis of alternatives and listed in the ORD shall be in the TEMP.
2. CNO (N912) shall distribute copies of the draft TEMP to the applicable Program Sponsor, CNO (N4), CNO (N6), CNO (N8), and ASN(RD&A) for review and comment. All comments shall be returned to CNO (N912) for review and consolidation. CNO (N912) shall send consolidated TEMP comments, with rationale, for all recommended changes,

to the DA for incorporation into the final TEMP. If the program is subject to OSD T&E oversight, CNO (N912) shall deliver appropriate copies to OSD in accordance with reference (a). CNO (N091) is the single OPNAV point of contact with OSD for TEMP coordination.

4. TEMP Approval

CNO (N091) will resolve specific issues, and after resolution, the DA and COMOPTEVFOR shall sign and date the smooth TEMP and submit it to the Program Sponsor to continue the approval process. Sample TEMP cover pages for Navy programs are provided in this instruction, enclosure (7), Appendix III, pages III-24 through III-27. Page III-28 contains the Navy TEMP cover sheet format for Software Qualification Testing. [Note: Use the cover page in this instruction, enclosure (7), Appendix III, page III-24, for all Navy programs with OSD T&E oversight.]

5. TEMP Distribution

The DA distributes approved TEMPs to all appropriate offices and commands.

6. TEMP Updates

TEMP reviews, updates or revisions are required for each milestone event. If the TEMP is still current, CNO (N091) will provide a written statement to the MDA that no changes to the TEMP are required. If not current, the DA shall prepare necessary changes or revisions.

7. TEMP Changes and Revisions

For minor changes, the requirement for a new TEMP signature page will be determined by CNO (N091) prior to distribution. TEMP copies held by other agencies shall be updated to accurately reflect changes. As a minimum, TEMP changes shall:

1. Contain a Record of Change page and a page containing a short summary of the changes.
2. Use change bars in the right margin.
3. Denote all pages containing changes with the notation "CH-____" at the upper right corner.
4. Show the TEIN number in a header at the upper right on each page indicating which change version (e.g., all changes are numbered consecutively, TEMP 0527 CH-1). All changes are numbered.

TEST AND EVALUATION MASTER PLAN (TEMP) COVER PAGES**TEMP Cover Page Format For ACAT I**
[AND OTHER OSD T&E OVERSIGHT PROGRAMS]

TEMP NO. [TEIN NUMBER] REV. _____ [AS APPLICABLE]

[PROGRAM TITLE]

Acquisition Category (ACAT) _____

Program Element No. _____

Project No. _____

PREPARED:

PROGRAM MANAGER

DATE

ENDORSED:

SYSCOM COMMANDER/PEO/DRPM

DATE

COMOPTEVFOR

DATE

PROGRAM SPONSOR (Flag)

DATE

APPROVED FOR NAVY:

CNO (N091)

DATE

ASN(RD&A)

DATE

APPROVED:

DOT&E

DATE

Dir, TSE&E (OUSD(A&T))

DATE

Distribution is limited to U.S. Government agencies only. Other requests for this document must be referred to the Chief of Naval Operations (N091).

CLASSIFIED BY: _____

DECLASSIFY ON: _____

TEMP Cover Page Format For ACAT II Programs

TEMP NO. [TEIN NUMBER] REV. _____ [AS APPLICABLE]
[PROGRAM TITLE]

Acquisition Category (ACAT) II
Program Element No. _____
Project No. _____

PREPARED:

PROGRAM MANAGER

DATE

ENDORSED:

SYSCOM COMMANDER/PEO/DRPM

DATE

COMOPTEVFOR

DATE

PROGRAM SPONSOR (Flag)

DATE

APPROVED:

CNO (N091)

DATE

ASN(RD&A)

DATE

Distribution is limited to U.S. Government agencies only. Other requests for this document must be referred to the Chief of Naval Operations (N091).

CLASSIFIED BY: _____

DECLASSIFY ON: _____

TEMP Cover Page Format For ACAT III Programs

TEMP NO. [TEIN NUMBER] REV. ____ [AS APPLICABLE]
 [PROGRAM TITLE]
 Acquisition Category (ACAT) III
 Program Element No. ____
 Project No. ____

PREPARED:

PROGRAM MANAGER

DATE

ENDORSED:

SYSCOM COMMANDER/PEO/DRPM
(if ASN(RD&A) retains MDA)

DATE

COMOPTEVFOR

DATE

PROGRAM SPONSOR (Flag)

DATE

APPROVED:

CNO (N091)

DATE

Milestone Decision Authority

DATE

Distribution is limited to U.S. Government agencies only. Other requests for this document must be referred to the Chief of Naval Operations (N091).

CLASSIFIED BY: _____

DECLASSIFY ON: _____

TEMP Cover Page Format For ACAT IV Programs

TEMP NO. [TEIN NUMBER] REV. _____ [AS APPLICABLE]
[PROGRAM TITLE]
Acquisition Category (ACAT) IV
Program Element No. _____
Project No. _____

PREPARED:

PROGRAM MANAGER

DATE

ENDORSED:

COMOPTEVFOR
[for ACAT IVT only]

DATE

APPROVED:

Milestone Decision Authority

DATE

Distribution is limited to U.S. Government agencies only. Other requests for this document must be referred to the Chief of Naval Operations (N091).

CLASSIFIED BY: _____

DECLASSIFY ON: _____

**TEMP Cover Page Format For
Software Qualification Testing Programs**

TEMP NO. [TEIN NUMBER] REV. _____ [AS APPLICABLE]
SOFTWARE QUALIFICATION TESTING FOR
[PROGRAM TITLE]
Program Element No. _____
Project No. _____

| | |
|-----------------|-----------|
| | PREPARED: |
| PROGRAM MANAGER | DATE |

| | |
|-------------|-----------|
| | ENDORSED: |
| COMOPTEVFOR | DATE |

| | |
|---------------------------|-----------|
| | APPROVED: |
| SYSCOM COMMANDER/PEO/DRPM | DATE |

Distribution is limited to U.S. Government agencies only. Other requests for this document must be referred to the Chief of Naval Operations (N091).

CLASSIFIED BY: _____
DECLASSIFY ON: _____

Navy Certification of Readiness for OT Message Content

The message certifying a system's readiness for OT&E shall contain the following information:

1. Name of the system
2. OT-[phase]
3. TEMP [number]
4. TEMP approval date
5. For software testing, identify the specific release to be tested.
6. Waivers (identify criteria in SECNAVINST 5000.2B to be waived, if any; if none, state "none". Only required for OT&E). (SECNAVINST 5000.2B shall be Ref A of the certification message)
7. State projected limitations that waived criteria will place on upcoming operational testing.
8. State when waived criteria will be met.
9. Deviations (identify deviations from a testing requirement directed in the TEMP; if none, state "none".). (The TEMP shall be Ref B of the certification message)
10. State projected limitations that waived TEMP requirement will place on upcoming operational testing.
11. State potential waiver impact on fleet use.
12. State when waived requirement will be available for subsequent operational testing.
13. Additional remarks.

Appendix IV

Live Fire Test and Evaluation Coordination Procedures

(See DoD Regulation 5000.2-R of 15 Mar 96, Appendix IV, for Live Fire Test and Evaluation Reports, Mandatory Procedures, and Formats guidance)

Appendix V

**Major Automated Information System Quarterly Report
Coordination Procedures**

(See DoD Regulation 5000.2-R of 15 Mar 96, Appendix V, for Major Automated Information System Quarterly Report guidance)

Appendix VI

Cost/Schedule Control Systems Reports Review Process

(See DoD Regulation 5000.2-R of 15 Mar 96, Appendix VI, for Cost/Schedule Control Systems Reports Review Process guidance)

Appendix VII

Glossary of Key Terms and Concepts

This glossary contains terms used in SECNAVINST 5000.2B, but not found in DOD 5000.2-R of 15 Mar 96 glossary. Entries are in alphabetical order. In some cases the reader is referred to other instructions where a fuller discussion is already provided.

Acquisition Category IV - a program not meeting the criteria for ACAT I, II or III. ACAT IVT programs require Operational Test and Evaluation (OT&E). ACAT IVM programs do not require OT&E.

Acquisition Coordination Team - a team, normally composed of representatives of the requirements generation, acquisition, testing and financial communities, required for ACAT I and II programs. The ACT is specifically used to oversee the analysis of alternatives, form a tailoring agreement proposal (for program documentation and structure), develop an acquisition strategy and resolve issues at the lowest level possible. ACT's are encouraged, but not required, for ACAT III and IV programs. See SECNAVINST 5420.188D.

Acquisition Program Baseline - a document that contains the cost, schedule and performance objectives and thresholds of the program beginning at program initiation. It contains only the most important parameters that, if the thresholds are not met, the MDA would require a reevaluation of alternative concepts or design approaches.

Acquisition Review Board - the senior-level forum for advising the PEO/SYSCOM/DRPM on critical decisions concerning ACAT III and IV programs. The ARB is chaired by the PEO/SYSCOM/DRPM and participation is determined by the Milestone Decision Authority. Representatives of the CNO/CMC shall also be invited to participate.

Advanced Technology Demonstration - a means of validating the viability, utility and producibility of a technology as opposed to the demonstration of a system.

Advanced Concept Technology Demonstration - a means of demonstrating the use of mature technology in a system to address urgent military needs. The ACTD is not an acquisition program but if additional units beyond the capability created are required, that shall be an acquisition program.

Air Characteristics Improvement Panel -

Automated Information System (AIS) - a combination of computer hardware and software, data, or telecommunications, that performs functions such as collecting, processing, transmitting and displaying information. Excluded are computer resources, both hardware and software, that are: physically part of, dedicated to, or essential in real time to the mission performance of weapons systems.

Developing Agency - the PEO, SYSCOM or DRPM assigned responsibility for program execution.

Evolutionary Acquisition - an acquisition strategy whereby a basic capability is fielded with the intent to procure and field additional capabilities in the form of modifications to the basic capability fielded. This technique is often found in the development, production and fielding of rapidly advancing technology and in software.

Extension of Application - an acquisition strategy whereby an existing system, subsystem or equipment is selected to be extended in its application to a new host platform. This strategy usually does not require an OPEVAL to the existing system, subsystem or equipment, but a period of FOT&E is usually required to insure that the system, subsystem or equipment integration has not degraded performance, including the performance of the host platform.

Failure Modes, Effects and Criticality Analysis - the analysis of the various ways in which an equipment is expected to fail, the failure's resultant effects and its impact on mission accomplishment.

Information Resources - resources which are necessary to develop and operate an Information System. These resources include information, people, equipment, software, facilities, and contractual support for system definition, design, development, deployment and operation.

Joint Potential Designator - a categorization indicating the degree to which a program has potential for joint use. The codes are:

Level of Repair Analysis - the analysis of a repairable items to determine whether organizational, intermediate or depot is the most appropriate level of repair.

Logistic Support Analysis -

Maintenance Concept - The maintenance concept expresses the strategy for maintaining the platform and system at a defined level of readiness in support of the operational scenario. It

includes preventive maintenance, corrective maintenance and overhaul. It shall consider maintainability at all maintenance levels, i.e., organizational, intermediate and depot as well as addressing the scope of required work at each level. Program Managers shall consider alternative maintenance concepts in support of the operational scenario as inputs to life cycle cost analyses and design trade-offs. Maintenance concepts for systems and equipments selected for installation on platforms shall be consistent with the maintenance concept of the platform.

Non-ACAT Program - a program whose cost is below all of the dollar thresholds for preparing an Acquisition Plan (\$5 million in total RDT&E, \$15 million in procurement costs for any fiscal year, or \$30 million in total procurement costs for the life of the program) and is so designated by the cognizant PEO/SYSCOM/DRPM.

Non-Acquisition Program - an effort that does not directly result in the acquisition of a system, subsystem or equipment for operational use. These efforts often provide a proof of principle, or technology application.

Non-Acquisition Program Definition Document - the document used to initiate and provide management control of a non-acquisition program. This document provides a complete explanation of the effort, expectations, schedule and cost of a non-acquisition program.

Production Acceptance T&E (PAT&E). Production Acceptance T&E (PAT&E) is testing conducted on production items to ensure systems meet contract specifications and requirements.

Program Decision Meeting - the Department's senior-level forum for advising the Assistant Secretary of the Navy (Research, Development and Acquisition) on critical decisions concerning ACAT IC and II programs. The PDM is chaired by the ASN(RDA) and composed of the Department's senior acquisition officials, representatives of the CNO/CMC, and others, as appropriate. See SECNAVINST 5420.188D.

Resources and Requirements Review Board -

Science and Technology Requirements Committee -

Science and Technology Working Group -

Ship Characteristics Improvement Panel -

Software Qualification Testing - post-Milestone III software testing conducted by an independent test agency for the purpose

of determining whether a software product is approved for fleet release.

Standardization - Standardization is a process used to achieve the greatest practicable uniformity of items of supply and engineering practices, to insure the minimum feasible variety of such items and optimum interchangeability of technical information, training, equipment parts and components. A welcome byproduct of standardization is a reduction of technical documentation and its attendant maintenance and increased transferability of operational and maintenance skills. All of these factors translate to reduced total cost of ownership. Achieving standardization is often in direct opposition to the use of performance specifications and commercial-off-the-shelf equipment. It is necessary to obtain a balance between these two ends of the spectrum by using good business and technical judgement in determining the best approach to reduce the total cost of ownership. Standardization shall be considered by Program Managers in evaluating the life cycle cost implications of acquisition reform initiatives.

Supportability - Program Managers shall ensure that supportability requirements fully consider life cycle costs including the short life spans resulting from technology insertion and obsolescence. They shall develop interdependent support and design considerations that relate consistently to readiness objectives. This planning shall include the post production phase to ensure continued attainment of readiness objectives with economical logistic support for the total life cycle. The Program Manager shall identify the most cost effective approach to support the system when fielded and assure the required support elements, data and information are developed and acquired.

T&E Coordinating Group - a forum whose purpose is to coordinate and resolve more complex Navy T&E issues, including urgent TEMP changes. The forum is chaired by CNO (N912) and membership usually includes CNO staff, PM, OPTEVFOR Assistant Chief of Staff, ASN(RDA) staff and others.

Test Integration Working Group - a forum whose purpose is to effect USMC T&E coordination.

Test Planning Working Group - a forum whose purpose is to discuss, coordinate and resolve Navy test planning goals and issues. The forum is chaired by the Program Manager or the PM's designated representative. Membership is flexible but can include CNO representatives, SYSCOM T&E representatives, COMOPTEVFOR staff, ASN(RDA) staff and contractors.

Threshold - the value of a baseline parameter that represents the minimum acceptable value which, in the user's judgment, is necessary to satisfy the need. If threshold values are not achieved, program performance is seriously degraded, the program may be too costly, or the program may no longer be timely.

Total Cost of Ownership - ownership cost includes the cost to acquire the system and the cost to operate, support, and dispose of the system. Program Manager shall consider the life cycle cost implications of acquisition reform initiatives in their application. The acquisition strategy shall be carefully examined and trade-offs of all long term logistic consideration conducted. These trade-offs shall consider lowest total cost of ownership to the Department of the Navy over the expected life cycle of the item.

Appendix VIII

List of Acronyms

| | |
|------------------|---|
| 3M | Material Maintenance Management |
| ACAT | Acquisition Category |
| ACIP | Air Characteristics Improvement Panel |
| ACMC | Assistant Commandant of the Marine Corps |
| ACOS | Assistant Chief of Staff |
| ACT | Acquisition Coordination Team |
| ACTD | Advanced Concept Technology Demonstration |
| ADM | Acquisition Decision Memorandum |
| AIS | Automated Information System |
| AO | Action Officer |
| AP | Acquisition Plan |
| APB | Acquisition Program Baseline |
| ASN(FM) | Assistant Secretary of the Navy(Financial Management) |
| ASN(I&E) | Assistant Secretary of the Navy(Installations and Environment) |
| ASN(RDA) | Assistant Secretary of the Navy (Research, Development and Acquisition) |
| ATC | Air Traffic Control |
| ATD | Advanced Technology Demonstration |
| BCR | Baseline Change Request |
| INSURV | Board of Inspection and Survey |
| BPR | Business Process Reengineering |
| C/SSR | Cost and Schedule Status Report |
| C ⁴ I | Command, Control, Communications, Computers and Intelligence |
| CAIG | Cost Analysis Improvement Group |
| CAIV | Cost as an Independent Variable |
| CARD | Cost Analysis Requirements Description |
| CARS | Consolidated Acquisition Reporting System |
| CBR | Chemical, Biological and Radiological |
| CCB | Contract Cost Baseline |
| CCDR | Contractor Cost Data Reporting |
| CCP | Consolidated Cryptologic Program |
| CFSR | Contract Funds Status Report |
| CG | Commanding General |
| CINC | Commander in Chief |
| CIO | Chief Information Officer |
| CMC | Commandant of the Marine Corps |
| CNO | Chief of Naval Operations |
| COE | Concept of Employment |
| COI | Critical Operational Issue |
| COMMARCORSYSCOM | Commander, Marine Corps Systems Command |
| COMNAVSECGRU | Commander, Naval Security Group |
| COMOPTEVFOR | Commander, Operational Test and Evaluation Forces |

| | |
|---------|---|
| COTS | Commercial Off the Shelf |
| CPR | Cost Performance Report |
| DA | Developing Activity |
| DAES | Defense Acquisition Executive Summary |
| DASN | Deputy Assistant Secretary of the Navy |
| DC/S | Deputy Chief of Staff |
| DFARS | Defense Federal Acquisition Regulation Supplement |
| DIA | Defense Intelligence Agency |
| DOD | Department of Defense |
| DON | Department of the Navy |
| DOT&E | Director, Operational Test and Evaluation |
| DRPM | Direct Reporting Program Manager |
| DT | Developmental Testing |
| DT&E | Developmental Test and Evaluation |
| DTIC | Defense Technical Information Center |
| DTSE&E | Director, Test Systems Engineering and Evaluation |
| EA | Evolutionary Acquisition |
| EAT | External Airlift Transportation |
| EC | Electronic Commerce |
| ECCM | Electronic Counter-Countermeasures |
| ECM | Electronic Countermeasures |
| EDI | Electronic Data Interchange |
| EMC | Electro-magnetic Compatibility |
| EMD | Engineering and Manufacturing Development |
| EMI | Electro-magnetic Interference |
| EMV | Electromagnetic Vulnerability |
| EOA | Early Operational Assessment |
| FAR | Federal Acquisition Regulation |
| FCT | Foreign Comparative Testing |
| FD | Failure Definition |
| FEA | Functional Economic Analysis |
| FIP | Federal Information Processing |
| FIRMR | Federal Information Resources Management Regulation |
| FLTCINC | Fleet Commander in Chief |
| FMECA | Failure Modes, Effects, and Criticality Analysis |
| FMF | Fleet Marine Forces |
| FOT&E | Follow-on Test and Evaluation |
| FYDP | Future Years Defense Program |
| FYMTP | Five Year Master Test Plan |
| GIDEP | Government-Industry Data Exchange Program |
| HERO | Hazards of Electromagnetic Radiation to Ordinance |
| HMC | Hazardous Material Control Management |
| HQMC | Headquarters Marine Corps |
| IER | Initial Evaluation Report |
| INSURV | Board of Inspection and Survey |
| IOT&E | Initial Operational Test and Evaluation |
| IPPD | Integrated Product and Process Development |
| IPT | Integrated Product Team |
| IR | Information Resources |
| IRM | Information Resources Management |
| ISO | International Standards Organization |

| | |
|----------------|---|
| JPD | Joint Potential Designator |
| JROC | Joint Requirements Oversight Council |
| JT&E | Joint Test and Evaluation |
| LBTS | Land-based Test Site |
| LCC | Life Cycle Cost |
| LFT&E | Live Fire Test and Evaluation |
| LORA | Level of Repair Analysis |
| LRIP | Low Rate Initial Production |
| LSA | Logistics Support Analysis |
| M&S | Modeling and Simulation |
| MAIS | Major Automated Information System |
| MARCORSYSCOM | Marine Corps Systems Command |
| MARFOR | Marine Force |
| MC&G | Mapping, Charting and Geodesy |
| MCCDC | Marine Corps Combat Development Command |
| MCIC | Marine Corps Intelligence Center |
| MCO | Marine Corps Order |
| MCOTEA | Marine Corps Operational Test and Evaluation Agency |
| MDA | Milestone Decision Authority |
| MDAP | Major Defense Acquisition Program |
| ME | Manpower Estimate |
| METOC | Meteorology and Oceanography |
| MNS | Mission Need Statement |
| MOA | Memorandum of Agreement |
| MOE | Measure of Effectiveness |
| MOP | Measure of Performance |
| MOU | Memorandum of Understanding |
| NAE | Navy Acquisition Executive |
| NAPDD | Non-Acquisition Program Definition Document |
| NATO | North Atlantic Treaty Organization |
| NAVAIRSYSCOM | Naval Air Systems Command |
| NAVSEASYSYSCOM | Naval Sea Systems Command |
| NCCA | Naval Center for Cost Analysis |
| NCTS | Naval Computer and Telecommunications Station |
| NDI | Non-Developmental Item |
| NEPA | National Environmental Protection Agency |
| NIB | Not-to-interfere Basis |
| NISMC | Naval Information Systems Management Center |
| NORAD | North American Air Defense Command |
| NPOC | Navy Point of Contact |
| NTP | Navy Training Plan |
| OA | Operational Assessment |
| OASN | Office of the Assistant Secretary of the Navy |
| OMB | Office of Management and Budget |
| OPEVAL | Operational Evaluation |
| OPSEC | Operations Security |
| ORD | Operational Requirements Document |
| OSD | Office of the Secretary of Defense |
| OT | Operational Testing |
| OT&E | Operational Test and Evaluation |
| OTA | Operational Test Authority |

| | |
|------------------|---|
| OTC | Operational Test Coordinator |
| OTD | Operational Test Director |
| OTRR | Operation Test Readiness Review |
| PA&E | Program Analysis and Evaluation |
| PAPL | Preliminary Allowance Parts List |
| PAT&E | Production Acceptance Test and Evaluation |
| PDM | Program Decision Meeting |
| PDR | Program Deviation Report |
| PDREP | Product Deficiency Reporting and Evaluation Program |
| PEO | Program Executive Officer |
| PM | Program Manager |
| PPBS | Planning, Programming and Budgeting System |
| PQDR | Product Quality Deficiency Report |
| PSA | Principal Staff Assistant |
| PTTI | Precise Time and Time Interval |
| QRA | Quick Reaction Assessment |
| R ³ B | Resources and Requirements Review Board |
| RADHAZ | Radiation Hazard |
| RDC | Rapid Deployment Capability |
| RDT&E | Research, Development, Test and Evaluation |
| RO | Requirements Officer |
| SAR | Selected Acquisition Report |
| SC | Scoring Criteria |
| SCIP | Ship Characteristics Improvement Panel |
| SECNAV | Secretary of the Navy |
| SECR | Standard Embedded Computer Resources |
| SEO | Software Executive Official |
| SIE | Standards Improvement Executive |
| SME | Subject Matter Expert |
| SPAWARSSYSCOM | Space and Naval Warfare Systems Command |
| SQT | Software Qualification Testing |
| STA | System Threat Assessment |
| STRC | Science and Technology Requirements Committee |
| STWG | Science and Technology Working Group |
| SYSCOM | Systems Command |
| T&E | Test and Evaluation |
| TACP | Technology Assessment and Control Plan |
| TD | Test Director |
| TECG | Test and Evaluation Coordinating Group |
| TECHEVAL | Technical Evaluation |
| TEIN | Test and Evaluation Identification Number |
| TEMP | Test and Evaluation Master Plan |
| TIWG | Test Integration Working Group |
| TPD | Test Planning Document |
| TPWG | Test Planning Working Group |
| TR | Test Report |
| TSP | Test Support Package |
| TTSP | Test Threat Support Package |
| UCR | Unit Cost Report |
| USC | United States Code |
| USD(A&T) | Under Secretary of Defense (Acquisition and |

| | |
|--------|---|
| | Technology) |
| USMC | United States Marine Corps |
| USN | United States Navy |
| VAMOSC | Visibility and Management of Operating and Support Costs |
| VCNO | Vice Chief of Naval Information |
| VIE | Visual Information Equipment |
| WBS | Work Breakdown Structure |
| WSA | Warfare Systems Architect |
| WSE | Warfare Systems Engineer |

Part 8
Cancellations

The following SECNAV, OPNAV, and Marine Corps issuances are canceled by this instruction:

SECNAVINSTs/NOTICES/MEMORANDUMS

| <u>Issuance</u> | <u>Subject</u> |
|------------------------|--|
| SECNAVINST 5000.2A, | "Implementation of Defense Acquisition Management Policies, Procedures, Documentation, and Reports," 12 Dec 92 |
| SECNAVINST 5231.1C, | "Life Cycle Management Policy and Approval Requirements for Information System Projects," 10 Jul 92 |
| SECNAVNOTE 5231 | "Oversight of Federal Information Processing Resource Acquisition Contracts," 20 Aug 93 |
| ASN(RD&A) Memorandum, | "Delegation of Authority," 4 Dec 92 |
| ASN(RD&A) Memorandum, | "Supportability Policy for Navy Implementation of Department of Defense Policy on Acquisition Reform," 14 Feb 96 |

OPNAVINSTs

| <u>Issuance</u> | <u>Subject</u> |
|------------------------|---|
| OPNAVINST 5000.42D, | "OPNAV Role and Responsibilities in the Acquisition Process," 19 Apr 93 |

Marine Corps Orders (MCOs)

| <u>Issuance</u> | <u>Subject</u> |
|------------------------|--|
| MCO 5000.22, | "Implementation of Defense Acquisition Management Policies, Procedures, Documentation, and Reports," 25 May 94 |
| MCO 5000.11B, | "Marine Corps Policy for Test and Evaluation of Systems and Equipment," 21 Apr 94 |

SECNAVINST 5000.2B

MCO P5231.1C,

"Life Cycle Management for Automated
Information Systems (LCM-AIS) Projects," 1 Nov 93

The following issuances were canceled by SECNAVINST 5000.2A of 12 Dec 92 and are included herein to summarize DON's ongoing acquisition and business management streamlining and reform efforts over the last four years:

| <u>Issuance</u> | <u>Subject</u> |
|----------------------|---|
| SECNAVINST 2410.1B, | "Electromagnetic Compatibility Program within Department of the Navy," 17 Oct 67 |
| SECNAVINST 3080.1, | "Acquisition of Reliable Power Supplies," 28 Aug 89 |
| SECNAVINST 3400.2, | "Design and Acquisition of Nuclear, Biological and Chemical (NBC) Contamination-Survivable Systems," 4 May 88 |
| SECNAVINST C3430.2, | "Department of the Navy Policy Concerning Electronic Counter-Countermeasures (ECCM) in Electronic Systems (U)," 17 Jan 77 |
| SECNAVINST 3900.37A, | "Rapid Development Capability for Warfare Systems," 27 Oct 71 |
| NAVMATINST 4000.15A, | "Department of the Navy Data Management Program," 2 Feb 71 |
| SECNAVINST 4120.19C, | "Use of Metric System of Measurement," 28 Sep 88 |
| SECNAVINST 4120.20, | "Precise Time and Time Interval (PTTI) Planning, Coordination and Control," 4 Feb 86 |
| SECNAVINST 4120.21, | "DoD Parts Control Program," 19 Mar 86 |
| SECNAVINST 4120.22, | "Development and Use of Non-Government Specifications and Standards," 15 Aug 86 |
| SECNAVINST 4120.23, | "Standard Hardware Acquisition and Reliability Program," 28 Aug 89 |
| SECNAVINST 4130.2, | "Department of the Navy Configuration Management Policy," 11 May 87 |
| SECNAVINST 4200.32, | "Design to Cost," 12 Jul 84 |
| SECNAVINST 4200.33, | "Selection of Contractual Sources for DoN Defense Systems," 14 Jul 86 |
| SECNAVINST 4210.6A, | "Acquisition Policy," 13 Apr 88 |

SECNAVINST 5000.2B

SECNAVINST 4210.7A, "Effective Acquisition of Naval Material,"
16 Jan 87

Issuance**Subject**

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| SECNAVINST 4210.9, | "Acquisition and Management of Technical Data and Computer Software," 25 Jan 88 |
| SECNAVINST 4490.2, | "Transition From Development to Production," 13 Mar 87 |
| SECNAVINST 4801.1B, | "Defense Production Management," 17 Mar 86 |
| SECNAVINST 4855.1, | "Quality Assurance Program," 10 Sep 79 |
| SECNAVINST 4855.2, | "Contract Requirements for Manufacturing Quality Data," 18 Dec 85 |
| SECNAVINST 4855.4, | "Contractual Manufacturing Requirements," 28 Aug 89 |
| SECNAVINST 4855.7, | "Department of the Navy Contractor Evaluation System," 28 Mar 88 |
| SECNAVINST 4855.9, | "Hardware Teardown Program," 13 Mar 89 |
| SECNAVINST 4858.2E, | "Department of the Navy Value Engineering Program," 6 Jul 84 |
| SECNAVINST 5000.1C, | "Major and Non-Major Acquisition Programs," 16 Sep 88 |
| SECNAVINST 5000.2. | "Major and Non-Major Acquisition Program Procedures," 1 Nov 88 |
| SECNAVINST 5000.33B, | "Program Management Proposal Process," 12 Jan 87 |
| SECNAVINST 5000.39A, | "Acquisition and Management of Integrated Logistics Support (ILS) for Systems and Equipment," 3 Mar 86 |
| SECNAVINST 5200.37, | "Acquisition of Software-Intensive C2 Information Systems," 5 Jan 88 |
| SECNAVINST 5219.2A, | "Technical Manual Program Management; Policies and Responsibilities for," 11 May 87 |
| SECNAVINST 7000.14B, | "Economic Analysis and Program Evaluation for Navy Resource Management," 18 Jun 75 |
| SECNAVINST 7000.15C, | "Contract Cost Performance, Funds Status and Cost/Schedule Status Reports," 17 Mar 80 |

SECNAVINST 5000.2B

SECNAVINST 7000.17C, "Contractor Cost/Schedule Performance
Measurement For Selected Acquisitions,"
26 Nov 86

Issuance

Subject

SECNAVINST 7000.19B, "Department of the Navy Cost Analysis Program,"
12 Mar 75

SECNAVINST 7000.20A, "Contractor Cost Data Reporting (CCDR),"
25 Aug 86

SECNAVINST 7000.24, "Reporting of Operating and Support Costs of
Major Defense Systems," 15 May 86

SECNAVINST 7700.5E, "Selected Acquisition Reports (SARs),"
11 Jan 84

SECNAVINST 7700.6, "Unit Cost Reports (UCRs)," 21 Dec 83

ASN(RD&A) memorandum "Contract Cost Baselines (CCBs)," 18 Jan 91
(NOTAL)

The following instructions and memorandums were canceled by OPNAVINST 5000.42D of 19 Apr 93 and are included herein to summarize CNO's ongoing requirements and acquisition-related streamlining and reform efforts over the last three years:

| <u>Issuance</u> | <u>Subject</u> |
|---------------------|---|
| VCNO memorandum, | "Mission Need Statement (MNS)/Operational Requirements Document (ORD) Interim Guidance," Ser 09/1U501073, 24 Oct 91 |
| OPNAVINST 1500.59, | "Surface Warfare Training System Acquisition Process and Responsibilities," 03 Jun 88 |
| OPNAVINST 3900.22A, | "Rapid Development Capability for Warfare Systems," 31 May 74 |
| OPNAVINST 3900.26B, | "DOD Food Research, Development, Testing and Engineering Program," 20 Jun 75 |
| OPNAVINST 3900.28, | "Department of Defense Food and Nutrition Research, Development, Testing, Evaluation, and Engineering (RDTE&E) Program," 05 Nov 84 |
| OPNAVINST 3910.21, | "Biomedical Research, Development, Test, and Evaluation (RDT&E) Requirements," 04 Apr 85 |
| OPNAVINST 3960.10C, | "Test and Evaluation," 14 Sep 87 |
| OPNAVINST 3960.11A, | "Policy and Responsibility for the Selection, Development, Acquisition Standardization, and Application of Automatic Test, Monitoring, and Diagnostic Systems and Equipment," 21 Jan 83 |
| OPNAVINST 4120.4B, | "Precise Time and Time Interval (PTTI) - Planning Coordination and Control," 03 Feb 89 |
| OPNAVINST 4130.1, | "Configuration Management of Software in Surface Ship Combat Systems; Policies Concerning," 02 Oct 75 |
| OPNAVINST 4423.6, | "Spares Acquisition Integrated with Production (SAIP)," 21 Jun 89 |
| OPNAVINST 5000.42C, | "Research, Development and Acquisition Procedures," 10 May 86 |
| OPNAVINST 5000.49A, | "Integrated Logistic Support (ILS) in the Acquisition Process," 30 Jan 87 |

SECNAVINST 5000.2B

OPNAVINST 5200.28, "Life Cycle Management of Mission-Critical Computer Resources (MCCR) for Navy Systems Managed Under the Research, Development, and Acquisition (RDA) Process," 25 Sep 86

Issuance

Subject

OPNAVINST 5420.104, "Joint Requirements Oversight Council (JROC) Procedures," 22 Oct 90

OPNAVINST 11110.3, "Planning and Acquisition of Military Health Facilities," 15 Aug 86

The following reporting requirements were canceled by OPNAVINST 5000.42D of 19 Apr 93 and were then exempt:

Report Symbol

Authorizing Document

OPNAV 3960-6
OPNAV 3960-7A
OPNAV 3960-7B
OPNAV 3960-8
OPNAV 3960-9
OPNAV 3960-11
OPNAV 3960-12
OPNAV 3960-13

OPNAVINST 3960.10C

SECNAV 3900-1

OPNAVINST 3900.22B

OPNAV 3910-1

OPNAVINST 3910.21

The following Marine Corps Orders (MCOs) and policy statements were canceled by MCO 5000.22 of 25 May 94 and are included herein to summarize CMC's ongoing requirements and acquisition-related streamlining and reform efforts over the last two years:

| <u>Issuance</u> | <u>Subject</u> |
|---|---|
| MCO P3900.13 | Systems Engineering Manual |
| MCO 4000.54 | Marine Corps Computer-Aided Acquisition and Logistics Support |
| MCO 4105.4 | Integrated Logistics Support Review and Certification |
| MCO P4105.3 | Integrated Logistics Support Manual |
| MCO 4120.12 | Marine Corps Metrication Program |
| MCO P4130.8 | Configuration Management Manual |
| MCO 4855.2D | Marine Corps Quality Program |
| MCO P5000.10C | Systems Acquisition Management Manual |
| MCO 5000.15 | Marine Corps Systems Acquisition Management Policy |
| MCO 5000.16 | Acquisition Streamlining |
| MCO 5100.24 | System Safety Engineering and Management |
| MCO 5200.23A | Management of Mission-Critical Computer Resources in the Marine Corps |
| MARCORSYSCOM Acquisition Policy Letter No. 92-01 5000/APL92.01 of 20 Mar 92 | |
| MARCORSYSCOM Acquisition Policy Letter No. 92-02 5000/APL92.02 of 1 Mar 92 | |